```
Set     Items    Description
S1       1258    AU=(SHAW D? OR SHAW, D? OR KOSOFSKY, D? OR KOSOFSKY D?)
S2    13224616    TRADING OR TRANSACT? OR SELL? ? OR SELLING OR BUY? ? OR BU-
                   YING OR ORDER? OR TRADES OR TRADE
S3    8205042    SECURITIES OR SECURITY OR STOCK? ? OR BOND? ? OR FINANCIAL-
                   ()INSTRUMENT?
S4     427626    ANONYMOUS? OR UNKNOWN OR UNIDENTIF?
S5    1126345    ALERT? OR FLAG? OR TRIGGER?
S6    10993680    DEALER? OR BROKER? OR TRADER? OR USER? OR CUSTOMER OR CLIE-
                   NT? OR INVESTOR? OR PARTICIPANT?
S7     610112    S2(2N)S3
S8      46891    S7(5N)(COMPUTERI? OR AUTOMAT? OR ELECTRONIC? OR NETWORK? OR
                   ONLINE OR ON()LINE OR WEB? OR INTERNET? OR WWW)
S9        252    S8(20N)S5
S10     11695    S8(10N)S6
S11        33    S10(20N)S4
S12    179172    INSTITUTION?()INVESTOR?
S13      5426    BLOCK()TRADE? ?
S14        65    S8 AND S12 AND S13
S15       492    S8(S)(S12 OR S13)
S16        35    S15 AND S5
S17         3    S9(S)(BARGAIN? OR NEGOTIAT? OR HAGGL?)
S18       133    S11 OR S14 OR S16 OR S17
S19        92    S18 NOT PY>2000
S20         2    S1 AND S8
S21        86    S19 NOT PD=20000926:20040224
S22        88    S20 OR S21
S23        62    RD (unique items)
? show file
File   9:Business & Industry(R)  Jul/1994-2004/Feb 23
          (c) 2004 Resp. DB Svcs.
File   15:ABI/Inform(R)  1971-2004/Feb 21
          (c) 2004 ProQuest Info&Learning
File   16:Gale Group PROMT(R)  1990-2004/Feb 24
          (c) 2004 The Gale Group
File 148:Gale Group Trade & Industry DB  1976-2004/Feb 24
          (c)2004 The Gale Group
File 160:Gale Group PROMT(R)  1972-1989
          (c) 1999 The Gale Group
File 275:Gale Group Computer DB(TM)  1983-2004/Feb 24
          (c) 2004 The Gale Group
File 621:Gale Group New Prod.Annou.(R)  1985-2004/Feb 24
          (c) 2004 The Gale Group
File 636:Gale Group Newsletter DB(TM)  1987-2004/Feb 24
          (c) 2004 The Gale Group
File 625:American Banker Publications  1981-2004/Feb 24
          (c) 2004 American Banker
File 268:Banking Info Source  1981-2004/Feb W3
          (c) 2004 ProQuest Info&Learning
```

23/3,K/1   (Item 1 from file: 9)
DIALOG(R)File   9:Business & Industry(R)
(c) 2004 Resp. DB Svcs. All rts. reserv.

2923085 Supplier Number: 02923085   (USE FORMAT 7 OR 9 FOR FULLTEXT)
E-Trading Platforms Proliferate, But How Many Will Survive?
(The world has 68 existing electronic trading systems focusing on the fixed
   income market including 11 primary market auction systems)
The Bond Buyer, v 333, n 30980, p 1+
September 21, 2000
DOCUMENT TYPE: Newspaper; Survey; Industry Overview ISSN: 0732-0469 (
United States)
LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 1052

     (USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:
...the survey said, have introduced or plan to introduce electronic
transaction systems that will allow **dealers** to **anonymously** execute
transactions in **securities** through proprietary **networks** .

Multi- **dealer** systems, or systems that provide customers with consolidated
orders from two or more dealers as...

23/3,K/2   (Item 2 from file: 9)
DIALOG(R)File   9:Business & Industry(R)
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2845546 Supplier Number: 02845546   (USE FORMAT 7 OR 9 FOR FULLTEXT)
Debit Cards Net 'Net Interest
(US ATM networks work toward allowing holders of debit cards to use them
 for online purchases; NYCE looks to its SafeDebit PIN-based debit card,
   which is inserted into the CD-ROM drive)
Card Technology, p 56+
June 2000
DOCUMENT TYPE: Journal; Industry Overview ISSN: 1093-1279 (United States)
LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 3161

     (USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:
...says the company also is close to an agreement with a stock brokerage
clearinghouse. The **unidentified** clearinghouse would provide cards and
readers to its member **brokerages** , which would distribute them to their
customers to **trade   stocks** over the **Internet** . Hughes anticipates
50,000 to 60,000 cards issued by June and 250,000 by...

23/3,K/3   (Item 3 from file: 9)
DIALOG(R)File   9:Business & Industry(R)
(c) 2004 Resp. DB Svcs. All rts. reserv.

2837220 Supplier Number: 02837220   (USE FORMAT 7 OR 9 FOR FULLTEXT)
Market Axess Throws Its Hat Into the Electronic Trading Ring
(Market Axess will soon start operating a bond trading platform aimed at
   large- block   trades ; MuniGroup.com has not begun operating)
The Bond Buyer, v 332, n 30921, p 1+

June 27, 2000
DOCUMENT TYPE: Newspaper; Industry Overview ISSN: 0732-0469 (United
States)
LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 1013

    (USE FORMAT 7 OR 9 FOR FULLTEXT)
**(Market Axess will soon start operating a bond trading platform aimed at
  large- block   trades ; MuniGroup.com has not begun operating)**

TEXT:
By Darrell Preston

DALLAS

As **online   bond - trading** platforms proliferate, it is becoming clear
that the many services' drive to differentiate themselves means...

...Market Axess, which is scheduled to go live next month with a platform
targeting large- **block   trades** of a wide variety of fixed-income
securities between and among broker-dealers and **institutional   investors**
, has announced that it will reveal the identities of all sellers and
buyers on its...

...bringing a multi-dealer approach to providing price and inventory
information along with research to **institutional**   investors , according
to Richard McVey, chief executive officer of Market Axess.

"In many cases what you...

 23/3,K/4   (Item 4 from file: 9)
DIALOG(R)File   9:Business & Industry(R)
(c) 2004 Resp. DB Svcs. All rts. reserv.

2702261 Supplier Number: 02702261   (USE FORMAT 7 OR 9 FOR FULLTEXT)
**TECHNOLOGY SHIFT: Online trading just beginning to appeal to big pension
  funds**
**(Balance of trading power will shift from financial institutions to their
  institutional   investors because of the emergence of alternative
  trading systems)**
Pensions & Investments, v 28, p 3
January 24, 2000
DOCUMENT TYPE: Journal ISSN: 1050-4974 (United States)
LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 1184

    (USE FORMAT 7 OR 9 FOR FULLTEXT)
**(Balance of trading power will shift from financial institutions to their
  institutional   investors because of the emergence of alternative
  trading systems)**

ABSTRACT:
A balance of trading power will shift from financial institutions to their
institutional   investors because of the emergence of alternative trading
systems. The obstacles that are still holding back...

TEXT:
...trading systems will result in a transfer of trading power from
financial institutions to the **institutional   investors** they now serve.

But plenty of work needs to be done first, according to those...

...of fixed-income investments will be traded online within the decade.

"From this point forward, **institutional   investors** will be the dominant
force in determining how these platforms develop," according to a study...

...TradeWeb.

Now, with more investment staff on hand, he expects 50% of the system's
bond   trades to be **electronic** , depending on the liquidity of the
marketplace.

While he is not a proponent of online...

...strategy information to trading.
But other managers are concerned with liquidity and are avoiding large
block   trades on web-based trading systems. "We don't have enough
history with it (Tradeweb) to...the report predicts full price discovery,
order matching capabilities and the ability to work with **institutional
investors** will be the keys to success.

QV Trading, BondLink and IBX are the only systems...

...three capabilities, with eSpeed and GFInet pulling up the rear in
planning the inclusion of **institution**al   investors .

 23/3,K/5   (Item 5 from file: 9)
DIALOG(R)File   9:Business & Industry(R)
(c) 2004 Resp. DB Svcs. All rts. reserv.

2551800 Supplier Number: 02551800   (USE FORMAT 7 OR 9 FOR FULLTEXT)
With the Click of a Mouse, MBIA Provides Insurance Over the Internet
(MBIA Insurance Corp to begin insuring bonds trading in the secondary
  market over Trading Edge Inc's BondLink trading service under an
  exclusive agreement)
The Bond Buyer, v 329, n 30703, p 44
August 12, 1999
DOCUMENT TYPE: Newspaper ISSN: 0732-0469   (United States)
LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 371

     (USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:
...Murray L. Finebaum, chairman and chief executive officer of Trading
Edge, a fixed-income securities **broker** , created BondLink as an **anonymous**
, secure, real-time service for **trading   bonds** over the **Internet** .
Before leading Trading Edge, Finebaum was president and CEO of Instinet
Corp., an electronic brokerage...

 23/3,K/6   (Item 6 from file: 9)
DIALOG(R)File   9:Business & Industry(R)
(c) 2004 Resp. DB Svcs. All rts. reserv.

2518842 Supplier Number: 02518842   (USE FORMAT 7 OR 9 FOR FULLTEXT)
GOING LIVE: PENSION FUNDS HAVE BEGUN UNTANGLING THE TRADING WEB; LOWER COST

AND SPEED ARE MAJOR ATTRACTIONS
(TradeWeb, electronic bond trading firm, signs up Kentucky Teachers'
  Retirement System and California Public Employees Retirement System)
Pensions & Investments, p 4
July 12, 1999
DOCUMENT TYPE: Journal   ISSN: 1050-4974   (United States)
LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 905

      (USE FORMAT 7 OR 9 FOR FULLTEXT)

ABSTRACT:
TradeWeb LLC (New York) is an **electronic   bond   trading** firm. The
company has signed up two US pension funds, the Kentucky Teachers'
Retirement System...

...biggest one was in the range of $25 mil. TradeWeb currently has 250 buy
side **institutional   investors** on its network. The network manages
between $2.5 bil and $3.5 bil in...

TEXT:
...through a dedicated phone line.

Instant information

He said the system also sends e-mail **alerts** when new information about a
company in the fund's portfolio is posted.

Mr. Kane...

 23/3,K/7   (Item 7 from file: 9)
DIALOG(R)File   9:Business & Industry(R)
(c) 2004 Resp. DB Svcs. All rts. reserv.

2209847 Supplier Number: 02209847   (USE FORMAT 7 OR 9 FOR FULLTEXT)
Trading Systems: Cantor, CBOT Spar Over Proposed Futures Exchange
(Cantor Fitzgerald and New York Board of Trade will jointly offer
  electronic Treasury futures exchange, Cantor Financial Futures Exchange,
  pending approval)
The Bond Buyer, v 325, n 30450, p 34
August 05, 1998
DOCUMENT TYPE: Newspaper ISSN: 0732-0469   (United States)
LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 937

      (USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:
...LP's proprietary network, will match bids wanted with bids offered in a
real-time, **anonymous** environment, said Cantor spokeswoman Debra Walton.

The system is already being used by a small group of **broker - dealers** ,
although further details were not yet available, Walton said.

 Electronic secondary **trading** of municipal **bonds** has been viewed by
many market **participants** as the next logical step in the technological
evolution of the public finance industry. And...

02061534 57317290
Awards for Excellence: Eurozone
Lee, Peter
Euromoney n375 PP: 96-107 Jul 2000
ISSN: 0014-2433 JRNL CODE: ERM
WORD COUNT: 13797

...TEXT: Switzerland remains a powerful distinguishing strength and it has put itself at the forefront of **Internet** and **electronic bond trading** initiatives in Europe.

Citibank has long pursued a strategy of providing transaction services, cash management, custody, foreign exchange and lending to the largest corporations and **institutional investors** in each country in Europe. It operates in all the nine non-eurzone European countries...the Austrian privatization agency to dispose of 2 million shares of Austria Tabak in a **block   trade** . CA IB also advised Yline, the first Austrian Internet stock to go public, on its...able to get away a follow-up offer in the form of a C170 million **block   trade** executed over two days in February by one of Perlos's founding shareholders.
It has... Indosuez Cheuvreux and SG Global Equities, has been to meet the growing requirement of French **institutional   investors** for coverage of nonFrench stocks.

SG Global Equities is highly rated for its execution capability...funding.

A large part of Citibank's business in the Netherlands is with the large **institutional   investors** that make the country home to the fourth-largest pool of assets under management in...April 1999, had around 16,000 customers by end-March 2000. Around 47% of all **securities transactions** at Credit Suisse are executed **online** .

The Swiss franc debt markets are a two horse race and volumes are dominated by... is in the top three in equity research and this year executed the largest-ever **block   trade** in the UK market, a joint-led placement of 925 million Vodafone shares. Morgan Grenfell...

02038397 55351604
The next leap in trading technology
Schack, Justin
Institutional Investor v34n6 PP: 49-56 Jun 2000
ISSN: 0020-3580 JRNL CODE: IL
WORD COUNT: 3221

...TEXT: number of different countries.

With the trading interest in any given stock spread so wide, **institutional investors** are having a much harder time getting their large orders executed at the best prices...trading operations. Kay, after sizing up the market, might decide, for example, to execute a **block   trade** in pieces to avoid market-impact costs. "If I've got 500 to buy and...

... degree, computers and so&ware are already working orders. "We can take in a large **block trade** and work it in a number of ways electronically," says David Pett, head of trading...

... addressing the problems presented by larger positions, fragmented liquidity and riskier trades?
To be sure, **institutional investors** have very different needs than retail customers. In addition to pure execution

...DESCRIPTORS: **Online securities trading ;**

 23/3,K/10   (Item 3 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
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02011752 52582690
Showdown over market structure
Schack, Justin
Institutional Investor v34n4 PP: 63-71 Apr 2000
ISSN: 0020-3580 JRNL CODE: IL
WORD COUNT: 3287

...TEXT: the way are the biggest Wall Street houses, which argue that the rapid growth of **electronic stock trading** is creating disruption and fragmenting markets.

In February, encouraged by the Securities and Exchange Commission...

... so. "I don't know precisely what is the right national market system," he told **Institutional Investor** , "and I don't intend to impose that on anyone."

Were Levitt tempted, however, some...in both houses is the prospect of a CLOB that handles only retail orders, while **block trades** from big institutions continue to get special treatment from upstairs trading desks. Levitt, of course...

DESCRIPTORS: **Online securities trading ;**

 23/3,K/11   (Item 4 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
(c) 2004 ProQuest Info&Learning. All rts. reserv.

01978589 48176668
Trading meets the millennium
Carroll, Michael; Lux, Hal; Schack, Justin
Institutional Investor v34n1 PP: 36-53 Jan 2000
ISSN: 0020-3580 JRNL CODE: IL
WORD COUNT: 7697

...TEXT: dizzying new venture or alliance after another - with alternative trading systems, with each other, with **institutional investors** - that cut across traditional business lines and loyalties. The NYSE, Nasdaq, London Stock Exchange and...the envy of the world.

But there were problems. First, powerful market participants, such as **institutional investors** , were excluded - and shamelessly price-gouged.

And the interests of Nasdaq, the NYSE and various...

... the Internet - and the rise of on-line financial services. The $9.95 trades of **on - line** brokers like Ameritrade, Datek **Securities** and E* **Trade** **Securities** threatened Wall Street's traditional retail brokerage business. These huge flows of customer orders gave...Rule 390 had to go. "When the NYSE announced it was going public," Levitt told **Institutional Investor** immediately after the speech, "everything went into play."

AS THE PREMIER PLAYER, THE NYSE CLEARLY...forward. In the meantime, he has appointed a committee of senior listed-company officials and **institutional investors** to study all aspects of demutualization.

But Grasso is shrewd and agile. Last fall he...no time constraints; "voluntary" CLOBs let dealers withhold some orders. Other variations make exceptions for **block trades** .

Predictably, different players prefer different systems. The big traditional firms would prefer a relatively hard...

23/3,K/12 **(Item 5 from file: 15)**
DIALOG(R)File 15:ABI/Inform(R)
(c) 2004 ProQuest Info&Learning. All rts. reserv.

01767390 04-18381
The political economy of statutory reach: U.S. disclosure rules in a globalizing market for securities
Fox, Merritt B
Michigan Law Review v97n3 PP: 696-822 Dec 1998
ISSN: 0026-2234 JRNL CODE: MLW
WORD COUNT: 50681

...TEXT: in the value of disclosure. Voting power in U.S. issuers is less concentrated, and **institutional investors** in U.S. issuers are less inclined, separately or together, to exercise their voting power...

... are solicitations of public shareholders in proxy fights.135 In contrast, in Germany and Japan, **institutional investors** play a larger role both in monitoring managerial behavior136 and in supplying finance, mostly debt...

...for U.S. issuers would be higher than for German and Japanese ones. U.S. **institutional investors** monitor less carefully the way managers of U.S. issuers make both operating and project...Its Top Executive, N.Y. TIMES, Jan. 27, 1993, at Al. While increased pressure by **institutional investors** is an important factor in this shift, it appears to reflect as well an underlying...

... RooTs OF AMERICAN CORPORATE FiNANcE (1994); Bernard S. Black & John C. Coffee, Jr., Hail Britannia? **Institutional Investor** Behavior Under Limited Regulation, 92 MICH. L. REV. 1997 (1994).

131. See infra note 149...

... Takeover, N.Y. TIMES, Dec. 3, 1991, at D2; Mark R. Wingerson & Christopher H. Dorn, **Institutional Investors** in the U.S. and the Repeal of Poison Pills: A Practitioner's Perspective, 1992...

... L. REv. 57, 83 n.74 (1990); John C. Coffee, Jr., Liquidity Versus

Control: The **Institutional** **Investor** as Corporate Monitor, 91 COLUM. L.
REV. 1277, 1299-300 (1991); Ronald J. Gilson, Corporate...was listed on or
after April 26, 1979, or (2) a member is executing a **block** **trade**
(10,000 or more shares or a market value of $200,000 or more) as...Law and
Econimics

Footnote:
Working Paper, 1990); Therese H. Maynard, What is an "Exchange?" -
Proprietary **Electronic** **Securities** **Trading** Systems and the Statutory
Definition of an Exchange, 49 WASH. & LEE L. REv. 833, 862...

23/3,K/13   **(Item 6 from file: 15)**
DIALOG(R)File 15:ABI/Inform(R)

**Restructuring institutional block trading: An overview of the OptiMark
system**
Clemons, Eric K; Weber, Bruce W
Journal of Management Information Systems: JMIS v15n2 PP: 41-60 Fall
1998
ISSN: 0742-1222 JRNL CODE: JMI
WORD COUNT: 7883

...ABSTRACT: more sophisticated trading techniques, such as program trading
and index arbitrage. Despite improvements, some large **institutional**
investors identify shortcomings in today's markets that make the process
of buying or selling large...
...TEXT: more sophisticated trading techniques, such as program trading and
index arbitrage. Despite improvements, some large **institutional**
investors identify shortcomings in today's markets that make the process
of buying or selling large...

... attractive returns and greater future wealth. Despite the operational
improvements from market technology, many large **institutional** **investors**
(e.g., mutual fund and pension fund managers) are increasingly critical of
today's stock...

... from those in use in established stock exchanges. Despite competition
and the changing needs of **institutional** **investors** , existing exchanges
have made few attempts to develop truly innovative trading systems, such as
OptiMark.

Exchange Shortcomings and the Need for OptiMark

Trading Costs for **Institutional** **Investors**

The growing institutionalization ofthe market has concentrated growing
quantities of assets in a small number... is greater risk from price
movement before the firm has "unwound" its position, but the **block**
trader may be able to earn an eighth (12.5 cents) or more per share.
Observers...

...portion of their overall trading intentions.

Today's market conditions impose costs and constraints on **institutional**
investors . A study by the Plexus Group of over 50,000 institutional
orders indicates that a...

... participants believe that better alternatives for handling large institutional-size trading orders are needed. Among **institutional investors** there is concern that the exchange's market structures are limited and self-serving. The...a substantial discount to recent prices.

Contact a dealer on a block trading desk: An **institutional investor** can seek a bid or offering for the full quantity from a block trading desk...be able to offer it as part of their services to nonmember customers, such as **institutional investors** and other nonmember broker-dealers. OptiMark chose to link to PCX and ITS and hopes...of Management Information Systems, 13, 2 (Fall 1996), 59-75.

3. Clemons, E.K., and **Weber** , B.W. Alternative **securities trading** systems: tests and regulatory implications of the adoption of technology. Information Systems Research, 7, 2... Auctions and bidding. Journal of Economic Literature, 25 (1987), 699-738.

8. Newman, K. Building **block trades** . Traders Magazine (October 1995), 18-20.

9. Schwartz, R.A., and Weber, B.W. Next...

 23/3,K/14 **(Item 7 from file: 15)**
DIALOG(R)File 15:ABI/Inform(R)
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01581721 02-32710
Bond pricing veil may be lifted
Anand, Vineeta
Pensions & Investments v26n4 PP: 2, 62 Feb 23, 1998
ISSN: 1050-4974 JRNL CODE: PNI

ABSTRACT: An **electronic bond trading** system's financial woes could **trigger** a congressional inquiry into the need for investors to receive better information about corporate bond...

... his service attempted to break the large bond dealers' lock on the market by giving **institutional investors** the ability to trade directly with each other. Because the bond dealers act as middlemen and claim profits on each trade, **institutional investors** might be able to obtain better prices by trading directly with each other. Rep. Edward...

 23/3,K/15 **(Item 8 from file: 15)**
DIALOG(R)File 15:ABI/Inform(R)
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01535805 01-86793
SEC loosens regulation of foreign broker-dealers
Gittleman, Charles S; Moran, Julia E; Don-Siemion, Eva
International Financial Law Review v16n10 PP: 11-14 Oct 1997
ISSN: 0262-6969 JRNL CODE: IFL
WORD COUNT: 3175

...TEXT: the US firm, to, first, engage in oral communications from outside the US with US **institutional investors** , where such communications take place outside the trading hours of the New York Stock Exchange...

...foreign securities; and, second, have inperson contacts during visits to

the US with major US **institutional investors** so long as the number of days on which such in-person contacts occur does...

... year and the foreign associated persons engaged in such in-person contacts do not accept **orders** to effect **securities transactions** while in the US.

Electronic quotation systems
The SEC also clarified the Release No. 34-27017 by stating that the...the S EC indicated, if the registered broker-dealer ignores indications of irregularity that should **alert** the registered broker-dealer to the likelihood that the foreign broker-dealer is taking advantage...

23/3,K/16   (Item 9 from file: 15)
DIALOG(R)File   15:ABI/Inform(R)
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01382880   00-33867
A revolution in securities markets' structures?
Anonymous
Financial Market Trends (France)   n65   PP: 15-37   Nov 1996
ISSN: 0378-651X   JRNL CODE: FMT
WORD COUNT: 8224

...TEXT: trading systems. Against this backdrop, competition among securities trading systems has increased considerably. Second, major **institutional investors** , which manage an ever more global portfolio, are increasingly demanding a wider choice between different...

... briefly discussed in Section 5. Section 6 takes a closer look at the needs of **institutional investors** and their impact on market structure. Finally, a number of likely future structural developments are...In September 1994, the exchange introduced new rules to allow immediate and full execution of **block trades** at a guaranteed price derived from pricing on the central market. At the end of...

... including all the stocks of the CAC 40 index. Depending on the size of the **block , trade** publication may be delayed up until the next morning. In 1995, a new trading system...systems is restricted to brokerdealers, specialists and other market professional and in some cases to **institutional investors** but plans for systems giving access to retail investors have been brought forward. Also, if...

... to build. Second, PTSs have been constructed in order to respond to a demand from **institutional investors** . The PTSs are particularly attractive to investors who are sensitive to transaction costs and do... International notwithstanding, investment banks located in London remain major suppliers of immediate liquidity for large **block trades** in many important continental European stocks.3

More generally, it can be argued that unless...choice of location would to some extent depend on the regulatory framework in place.

VI. **Institutional investors** and their impact on market structure

It is a well established fact that an increasing share of funds are held and managed by **institutional investors** . Perhaps less well appreciated is that **institutional investors** play a key role in the ongoing changes in market structure.

Many of the changes discussed above, such as the emergence of PTSs, have evolved in response to demands from **institutional investors** . In this connection, a number of facts are worth keeping in mind. Funds managed by **institutional investors** have grown considerably both in absolute terms and as a percentage of savings in virtually all Member countries and **institutional investors** are increasingly holding foreign securities. **Institutional investors** are also becoming more confident and aware of their key role in capital markets, and they are more demanding of intermediaries and exchanges. Increasingly, **institutional investors** wish to be able to unbundle the services that they receive from exchanges and intermediaries. The larger **institutional investors** are doing more ... their portfolio has increased, in particular for foreign securities. With the large sums traded by **institutional investors** , it is not surprising that studies have shown that **institutional investors** value anonymity. They are increasingly trying to find a direct counterpart for a trade in...

... place and changes likely to come, it is essential to look at the behaviour of **institutional investors** . Two recent surveys have tried to gauge the opinion of **institutional investors** in the United States9 and Europe 'o on a number of key issues. On the...
... the moment, proprietary trading systems are not widespread in Europe. However, the survey of European **institutional investors** showed that 69 per cent expected such systems to account for more than 10 per...

...could keep total execution costs down.

The growing influence, changing behaviour and new assertiveness of **institutional investors** may lead to disintermediation of financial intermediaries in the trading process. To some extent, intermediaries...

... being said, it should also be recalled that the larger intermediaries are themselves becoming major **institutional investors** .

VII. Issues for the future

Key issues for the future include whether traditional exchanges will...

... of proprietary trading systems and how to deal with cross-border expansion of trading systems.

Institutional investors search for ways to cut transaction costs will most likely spur a further expansion of...
...to rising pressures on regulated markets to allow direct access to their trading systems for **institutional investors** . However, as exchanges are traditionally owned by financial intermediaries, it is perhaps understandable that they... said, inspiration may be found in the way regulators are responding to the internationalisation of **securities** and derivatives **trading** which has resulted in a **network** of memorandums of understanding (MOU) among regulators. These MOUs usually recognise the principle that the...

...TEXT: Terme International de France (MATIF), in 1986 were motivated by
the need to attract foreign **institutional   investors** by offering them
suitable, highly liquid instruments and vehicles for hedging against
interest rate and...

... to enhance their public images as part of their communication policies.
In the meantime, foreign **institutional   investors** started to diversify
their portfolios and were eager to minimize the cost of portfolio
rebalancing... to bargain with market makers, whereas automated auction
markets are not so suitable for illiquid **stocks** and large **trades** .
Automated execution, however, is very effective for smaller orders. Most
block trading has initially migrated to...the state. They still remain
under the direct or indirect control of public (government-controlled)
institutions . **Investors** can submit limit orders via intermediaries (the
brokers) on an automated system. In Paris and...choose SEAQ International,
which offers a more flexible and much less transparent procedure. In Paris,
block   trades are illegal unless they go through the system and are
within the spread. Initially, they...

... be reported instantaneously; on SEAQ International, market makers must
inform the market of a large **block   trade** only the next day.
Furthermore, on SEAQ International, market makers are not constrained to
disclose...the excess transparency of an auction market without introducing
dealers directly. Its heavy dependence on **block   trades** and insider
information for liquidity are weak points that can be remedied with
stricter legislation...

... it becomes operational, the new Electronic Bourse Suisse (EBS) will be
created, a fully integrated **electronic** market **trading** all **financial**
instruments .

Overall, Switzerland has always been very much one market with several
trading floors. Most major...

... orders. The dual system will offer transparency for small orders
(individuals) and liquidity for large **institutional   investors** .
Today, trading on all Swiss floors is done by a call auction, which is
continuous for blue chips and periodic for smaller **stocks** . **Transactions**
made orally are confirmed **electronically** and diffused to all other
marketplaces. There are no brokers, and associate members, usually banks...
as above. If market makers wish to preserve anonymity-for example, in the
case of **block   trades** -they can pass an order to the Inter-Dealer Broker
(IDB), who posts the order...by the natural liquidity offered by big U.K.
pension funds and also by foreign **institutional   investors** .14 Half of
the turnover on the LSE is already in foreign stocks, and SEAQ...

...growing strong with the help of four contributing factors: *stamp duties
on share deals in **institutional   investors** ' home markets that they can
avoid on SEAQ International;15 *shortness of trading hours on...role as
primary markets. With the EMU's elimination of currency risk, portfolio
diversification for **institutional   investors** and inter-European capital
raising will be easier. These effects will be reinforced by the...in all
European exchanges much earlier than we had imagined. 14. Compared with
France, where **institutional   investors** hold less than 20 percent of the
market capitalization, investing institutions in the United Kingdom...

23/3,K/18   **(Item 11 from file: 15)**
DIALOG(R)File 15:ABI/Inform(R)

01183796 98-33191
A bump in the road imperils the flat-out growth in electronic trading of stocks
Wipperfurth, Heike
Global Finance v9n12 PP: 40-43 Dec 1995
ISSN: 0896-4181 JRNL CODE: GFI

...ABSTRACT: and sellers. About 70% of all the trades on Instinet are done by other NASDAQ **broker dealers** , who use the **electronic** system to buy and **sell** NASDAQ **stocks** **anonymously** at better prices than they display on the NASDAQ screen. Concerned that an electronic trading...

23/3,K/19   **(Item 12 from file: 15)**
DIALOG(R)File 15:ABI/Inform(R)

01103248 97-52642
Uncertainty, competition, and speculative finance in the eighties
Goldstein, Don
Journal of Economic Issues v29n3 PP: 719-746 Sep 1995
ISSN: 0021-3624 JRNL CODE: JEI
WORD COUNT: 10980

...TEXT: currents in the flow of funds. Here it is necessary to examine the rise of **institutional investors** -broadly identified by their pooling of individuals' investments into portfolios that are professionally managed.(5) ˙ Insurance companies ˙were the largest of the **institutional investors** through the 1950s, but were overtaken in total assets by the mushrooming pension funds in...

...the search for alternatives to bank saving as inflation rose, as well as the new **electronic** technologies of **securities trading** . The mutual funds' first period of explosive growth was the stock market boom of the... another instance, the billion-dollar run that brought down Mutual Benefit Life Insurance in 1991, **triggered** by news of its massive real estate and buyout investment losses, created an obscure spillover...

23/3,K/20   **(Item 13 from file: 15)**
DIALOG(R)File 15:ABI/Inform(R)

00990367 96-39760
International bond issues
Anonymous
Euroweek n392 PP: 24-36 Mar 3, 1995
ISSN: 0952-7036 JRNL CODE: EUW
WORD COUNT: 13839

...TEXT: 5bp over Libor is both cheap to the secondary market and represents good value to **institutional investors** .

Closing trading levels on Thursday were 99.65 bid, 99.70 offered.

Market appraisal:

"...a...and is helped by the switching out of other currencies into DM.

It was a **block** **trade** in as much as it was taken off the MTN programme. We had a couple...

...group.
Market appraisal:

"...done on the afternoon of our public holiday, it looks like a **block** **trade** . There are good placement opportunities in the three-year area but it does not offer...

... name and the banks will have trouble selling a triple-B asset into the retail **network** ."

"... **selling** the **bonds** to us at 99.45 and buying them back from the market at 99.85...Confederation 2005 where Sfr10m to Sf20m has been traded daily. Although there were signs of **institutional** **investor** interest in the market, we expect this demand to increase in the near future.

The...

23/3,K/21   **(Item 14 from file: 15)**
DIALOG(R)File 15:ABI/Inform(R)
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00983007 96-32400
Justice Department requests Instinet documents on Nasdaq
Lux, Hal
Investment Dealers Digest v61n6 PP: 6 Feb 6, 1995
ISSN: 0021-0080 JRNL CODE: IDD
WORD COUNT: 406

...ABSTRACT: trading system because Nasdaq market makers are among its biggest customers. The government investigations were **triggered** by an academic study written by William Christie and Paul Schultz which found usual trading...
...TEXT: the charges. Nasdaq and its market makers have denied the charges.

The government investigations were **triggered** by an academic study written by William Christie of Vanderbilt University and Paul Schultz of...

...not been named as a defendant in those cases.

The Instinet trading system allows large **institutional** **investors** and broker-dealers to **anonymously** trade through a computerized system. Instinet also runs an after-hours Crossing **Network** that allows **users** to **buy** and **sell** **stocks** at closing prices posted on Nasdaq or other exchanges. Small individual investors do not have...

23/3,K/22   **(Item 15 from file: 15)**
DIALOG(R)File 15:ABI/Inform(R)
(c) 2004 ProQuest Info&Learning. All rts. reserv.

00951688 96-01081
The rules of the game

Barron, Catherine; Higgins, Kieran
Global Investor n77 PP: 21-34 Nov 1994
ISSN: 0951-3604 JRNL CODE: GLI
WORD COUNT: 13467

...TEXT: York. Similarly, France has created a new block-trading system to make transactions easier for **institutional investors** . And Germany, Austria and Switzerland have established market surveillance authorities to provide the kind of...central depositories in other countries since private investors prefer to hold their securities themselves and **institutional investors** favour registered certificates with no coupons attached. However, the settlement of all securities on the...to trade French stocks with better conditions."

Another recent innovation was the creation of a **block - trade** market to facilitate the buying and selling of large blocks of trades at a pre...

...in handling domestic equities, and so compete on better terms with their rivals. In addition, **institutional investors** will be kept better informed about their transactions because of the greater degree of transparency... Holland's 25 biggest companies. Yet these companies are traded all over the world.

* Dutch **institutional investors** are relatively conservative in determining their allocation of portfolios between equity and bond products, let... their transactions rapidly and securely on SEGA's book-entry transfer system. Because of its **on - line** status, the settlement period for **securities transactions** can be shortened and reports sent to participants are minimized.

An updated version of Secom...countries consists of withholding tax. In Hungary withholding tax on interest is 20% and foreign **institutional investors** do not have to pay any tax on dividends. Warsaw levies a withholding tax of...

23/3,K/23   (Item 16 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
(c) 2004 ProQuest Info&Learning. All rts. reserv.

00788849 94-38241
The portfolio management and accounting supermarket
O Heney, Sheila
Wall Street & Technology v11n5 PP: 20-30 Oct 1993
ISSN: 1060-989X JRNL CODE: WSC
WORD COUNT: 3262

...TEXT: Sun workstations. Pricing starts at $45,000.

CAMRA, from Securities Software & Consulting, is used by **institutional investors** . It runs on over 75 different operating platforms, including DOS LANs, OS/2 and Unix...at the weighted average effect on an investment account or portfolio of a single or **block trade** before trade execution.

PAR EX, an on-line, real-time investment management system from MIS... confirmed by the brokers.

The International Manager from Rescom lets portfolio managers analyze and execute **block trades** . It allows trading against specific models and/or economic sector mixes as defined by managers...

...for up to five mixes. A master trade blotter provides an overview of all outstanding **block** **trades** , and various detailed analysis reports are generated.

ADAPTING TO CHANGE. Because new investments are continually... batch transaction update; selective automatic income processing; automatic account master update; broker-portfolio reconciliation and **electronic** order transmission; block **orders** by **security** , percent of asset class or total portfolio and Investment Council Association of America and AIMR ...

23/3,K/24   (Item 17 from file: 15)
DIALOG(R)File   15:ABI/Inform(R)
(c) 2004 ProQuest Info&Learning. All rts. reserv.

00684907 93-34128
Organisation and regulation of securities markets
Anonymous
Financial Market Trends (France)   n54   PP: 13-66   Feb 1993
ISSN: 0378-651X   JRNL CODE: FMT
WORD COUNT: 21099

...TEXT: process of securitisation of a widening range of financial assets, a steadily expanding influence of . **institutional** **investors** , further internationalisation of securities trading and, especially, the explosion of business in derivative products. Closely...

...fixed commission rates;

-- Promoting further internationalisation of domestic markets both for investors and borrowers;

-- Promoting **automation** in various processes of **securities** **trading** ;

-- Improving clearing and settlement systems, to secure efficiency and systemic stability of trading;
-- Modernising the... markets where an important and rising proportion of business activity, notably large-volume deals for **institutional** **investors** , moved away from stock exchanges to OTC markets on account of the availability of lower...

... a regime of freer capital flows and with advanced hedging and risk-structuring techniques, large **institutional** **investors** (mutual funds, pension funds and insurance companies) have come to diversify their portfolios internationally for...D. PROMOTING AUTOMATION

Recent years have also witnessed a significant acceleration in the process of **automation** and **computerisation** of **securities** **trading** . The availability of modern information technology has triggered a dramatic re-shaping of the whole...to investigate and prosecute insider trading.

As mentioned earlier, it is increasingly realised that the **automation** of **securities** **trading** provides a unique opportunity for tracing or detecting cases of insider trading at an early...after-hours electronic screen trading system, SYCOM (Sydney Computerised Overnight Market).

1990 Coverage of the **Stock** Exchange **Automated** **Trading** System (SEATS) was expanded to cover all traded equities. Computer-based surveillance techniques were introduced...Treasury Bills via Danish money market brokers

on the Stock Exchange.

An Interest System for **Block Trades** was introduced enabling the stockbroking companies to establish interest in all listed securities and to... major banks conclude market making agreements for debt securities issued by the state.

FRANCE

1986 **Computerised securities** quotation and **order** matching system--CAC (Cotation Assistee en Continu) modelled on the Toronto CATS system--starts its... case of public offering and obligations of persons possessing confidential information.

A system of complete **automation** of **stock** exchange **transactions** is already in operation as from autumn 1992. Most shares are now traded through the...

... for quotation, information dissemination, order routing and order execution, clearing and settlement;
-- concentration of all **securities transactions** in one **computerised** market system (integrating the hitherto large over-the-counter market with **trading** on the **stock** exchange);

-- linking through **computerisation** the regional stock exchanges with the Milano Stock Exchange so that all stock exchanges work... UCI whose securities are not intended for issue to the general public but rather for **institutional investors** .

1992 Law concerning the information to be published at the time of acquisition and disposal...stock exchange members, and preagreed operations undertaken directly by non-members.

Establishment of a new **electronic** system for **stock** -exchange **trading** of fixed-interest instruments.

New regulation of futures and options markets which grants them official... bank, while access to a recognised market may be obtained also by others, for example **institutional investors** and enterprises.

The provisions on clearing systems are only applicable to option and forward transactions...
...Swiss Bankers Association, to handle cross-border settlement and central depository needs of brokers and **institutional investors** .

3. Measures to improve regulation

1988 New Swiss insider trading law (insider trading becoming a...to form and develop gold and precious metal markets.

-- to further meet the needs for **institutional investors** in the markets, real estate investment trusts and mutual funds will be introduced into the...

23/3,K/25 **(Item 18 from file: 15)**
DIALOG(R)File 15:ABI/Inform(R)
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00639533 92-54473

Bode Akintola24-Feb-04

Specialist vs. Saitori: Market-Making in New York and Tokyo
Lindsey, Richard R.; Schaede, Ulrike
Financial Analysts Journal v48n4 PP: 48-57 Jul/Aug 1992
ISSN: 0015-198X JRNL CODE: FIA
WORD COUNT: 6805

...TEXT: presumed benefits of floor trading (market feeling and
interaction) with the reliability and speed of **computerized** **order**
-processing. **Stock** exchange members can transmit orders of up to three
round lots (usually 3000 shares) from...

... buy-and-hold strategy. Such strategies are designed to lead to closer
ties between corporations. **Institutional** **investors** such as pension
funds and life insurance companies engage in these strategies in order to
...

... the limit-order book is open, and the trend in the market can be
observed, **institutional** **investors** tend to place limit orders. Most
market orders are placed by individual investors.
The Standard... market, avoiding dealing when customer execution is
possible, and maintaining a stable market after a **block** **trade** . If a
specialist fails to receive a minimum score based on the questionnaire, the
exchange... law, a securities firm is limited to trading either as a broker
(for individual or **institutional** **investors**) or on its own account.
Market-making must therefore arise out of judicious use of...seems that it
is the "smaller investors who benefit (and, of course, pay), because
negotiated **block** **trades** represent about 50% of total volume, and
specialists take only limited positions.

The differences in...

... traders and analysts. Price limits and "sentiment prices" in Japan, for
example, mean that large **block** **trades** can take time and have
significant price impact, factors relevant for institutions trading in both
...

08119791   Supplier Number: 67683512 (USE FORMAT 7 FOR FULLTEXT)
Bayer sets out policy for e-business.(Company Business and Marketing)
 Shaw, David
European Rubber Journal, v182, n10, p24
Oct, 2000
Language: English   Record Type: Fulltext
Document Type: Magazine/Journal; Trade
Word Count: 1843

 Shaw, David
...   these web portals. This will allow Bayer to provide
up-to-the-minute data on **orders** , deliveries and **stock** levels live over
the **web** , whenever customers want that data.
      Ultimately, the key customers will be able to access almost...

07064838   Supplier Number: 59043443 (USE FORMAT 7 FOR FULLTEXT)
TECHNOLOGY SHIFT: Online trading just beginning to appeal to big pension
  funds.
Barreto, Susan
Pensions & Investments, v28, p3
Jan 24, 2000
Language: English   Record Type: Fulltext
Document Type: Magazine/Journal; Trade
Word Count: 1184

   (USE FORMAT 7 FOR FULLTEXT)
TEXT:
...trading systems will result in a transfer of trading power from
financial institutions to the **institutional   investors** they now serve.
...   of fixed-income investments will be traded online within the
decade.
     "From this point forward, **institutional   investors** will be the
dominant force in determining how these platforms develop," according to a
study...

...TradeWeb.
     Now, with more investment staff on hand, he expects 50% of the
system's **bond   trades** to be **electronic** , depending on the liquidity of
the marketplace.
     While he is not a proponent of online...

...strategy information to trading.
     But other managers are concerned with liquidity and are avoiding
large **block   trades** on web-based trading systems. "We don't have enough
history with it (Tradeweb) to...the report predicts full price discovery,
order matching capabilities and the ability to work with **institutional
investors** will be the keys to success.
     QV Trading, BondLink and IBX are the only systems...

...three capabilities, with eSpeed and GFInet pulling up the rear in
planning the inclusion of **institutional   investors** .

 23/3,K/28   (Item 3 from file: 16)
DIALOG(R)File 16:Gale Group PROMT(R)
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06796069   Supplier Number: 57466907 (USE FORMAT 7 FOR FULLTEXT)
Bond Market Association Survey Finds 39 Electronic Trading Systems Serving
  Institutional Fixed-Income Market; 50 Percent Increase From One Year Ago.
PR Newswire, p1161
Nov 10, 1999
Language: English   Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 737

...   of interdealer brokers have introduced or plan to introduce
electronic transaction systems that will allow **dealers   anonymously** to
execute **transactions** in **securities** through proprietary **networks** . Most
of these systems are targeting the U.S. Treasury securities market, but can
be...

 23/3,K/29   (Item 4 from file: 16)

06762301   Supplier Number: 56951229 (USE FORMAT 7 FOR FULLTEXT)
ExperTelligence, Inc. Subsidiary Announces Partnership with Island ECN
  3DStockCharts.com Provides Live 3D Charts of Island Streaming Limit Order
  Book.
PR Newswire, p0311
Oct 27, 1999
Language: English   Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 672

...   ECN, Inc. is an electronic order-matching system that gives
brokerage firms the power to **electronically** display and match 1stock
orders for retail and **institutional   investors** . Brokerage firms
leverage Island's speed, reliability and efficiency for the ultimate
benefit of the...

...in the development and hosting of Web/Database and Electronic Commerce
application solutions using its **flagship** products WebBase and ExperForms.
     ExperTelligence, Inc. 25 E. Ortega Street Santa Barbara, CA 93101.
Tel...

 23/3,K/30   (Item 5 from file: 16)

06655965   Supplier Number: 55832777 (USE FORMAT 7 FOR FULLTEXT)
VERSUS Technologies Inc. Launches LYNXX(TM) , Its Electronic Intra-Day
  Crossing Service for Canadian Equity Trading.
PR Newswire, p1581
Sept 23, 1999
Language: English   Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 547

...   at closing market pricing will improve market acceptance and
overall match rates.''
     Buy and sell **block** **trade** orders of 10,000 shares or more can be
submitted to LYNXX by institutional and...

...together with its wholly-owned subsidiary VERSUS Brokerage Services
Inc., is a leading provider of **electronic   securities   trading** services
to the Canadian marketplace. VERSUS develops, distributes and provides
access to **electronic   securities   trading** services and related products
for both retail and **institutional   investors** through its electronic
trading network.
     VERSUS' retail business is marketed exclusively in Canada under the
...

 23/3,K/31   (Item 6 from file: 16)

06588456   Supplier Number: 55552852 (USE FORMAT 7 FOR FULLTEXT)
i/money Customers To Link Directly Through To E-Trade Canada In Online
  Strategic Alliance.

Business Wire, p0122
August 25, 1999
Language: English   Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 716

...   have accounts with E-TRADE Canada will be able to move seamlessly
from receiving an **alert** , reviewing their portfolio, and making stock or
mutual fund decisions, to placing an order with...

...together with its wholly-owned subsidiary VERSUS Brokerage Services
Inc., is a leading provider of **electronic securities trading** services
to the Canadian marketplace. VERSUS develops, distributes and provides
access to **electronic securities trading** services and related products
for both retail and **institutional investors** through its electronic
trading network.
      VERSUS' retail business is marketed exclusively in Canada under the
...

 23/3,K/32   (Item 7 from file: 16)
DIALOG(R)File 16:Gale Group PROMT(R)
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06270368   Supplier Number: 54381726   (USE FORMAT 7 FOR FULLTEXT)
Trading Edge Launches New BondLink Service.
Business Wire, p0047
April 15, 1999
Language: English   Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 403

     Premiere **Internet** Solution for **Trading** High Yield **Bond**
     Goes Live **Online** Today With More Than 250 Institutional
      Investors Prepared to Trade
      Trading Edge, Inc., a fixed-income securities broker, today announced
the launch of BondLink, the first **anonymous** , secure, real-time service
for trading high yield bonds over the Internet.
      BondLink is a...

 23/3,K/33   (Item 8 from file: 16)
DIALOG(R)File 16:Gale Group PROMT(R)
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06227330   Supplier Number: 54244509   (USE FORMAT 7 FOR FULLTEXT)
**Trading Edge Installs 200th Seat On New Bondlink Service; The Countdown
  Continues for Live High Yield Bond Trading on April 15th.**
Business Wire, p0048
March 30, 1999
Language: English   Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 356

   (USE FORMAT 7 FOR FULLTEXT)
TEXT:
...broker, today announced the company has installed its 200th seat on
BondLink(TM), the first **anonymous** , secure, real-time service for **trading**
 high yield **bonds** via the **Internet** . Trading Edge anticipates
approaching 300 installed **users** by April 15th, the day it launches the

BondLink service.

 23/3,K/34   (Item 9 from file: 16)
DIALOG(R)File 16:Gale Group PROMT(R)
(c) 2004 The Gale Group. All rts. reserv.

06191031   Supplier Number: 54096066 (USE FORMAT 7 FOR FULLTEXT)
**VERSUS Technologies Inc., Parent Company of E*TRADE Canada, Completes
  Initial Public Offering of Common Shares.**
PR Newswire, p4965
March 15, 1999
Language: English   Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 1094

...   together with its wholly-owned subsidiary, VERSUS Brokerage
Services Inc., is a leading provider of **electronic   securities   trading**
services to the Canadian marketplace. The Company develops, distributes and
provides access to **electronic   securities   trading** services and related
products for both retail and **institutional   investors** through its
electronic trading network.
        "We selected VERSUS as our Canadian partner largely because of...

...products and services that can be personalized, including portfolio
tracking, real-time stock quotes, Smart **Alerts** , market commentary and
analysis, news, investor community areas and other information services.
E*TRADE was...

 23/3,K/35   (Item 10 from file: 16)
DIALOG(R)File 16:Gale Group PROMT(R)
(c) 2004 The Gale Group. All rts. reserv.

06145835   Supplier Number: 53924345 (USE FORMAT 7 FOR FULLTEXT)
**Digex Selected by Standard & Poor's to Provide Web Hosting Solutions;
  LIMITrader Securities, Inc. Also Realizes Benefits of Digex Financial
  Solutions Group.**
Business Wire, p1257
Feb 23, 1999
Language: English   Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 887

...   test next month, will deliver the first electronic trading
transaction environment for corporate bonds where **investors** meet
anonymously and negotiate online. The LIMITrader system fully **automates**
the **bond   trading** process, matching buyers and sellers based on their
preset criteria and notifying them of interested...

 23/3,K/36   (Item 1 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB
(c)2004 The Gale Group. All rts. reserv.

12600073   SUPPLIER NUMBER: 65342201   (USE FORMAT 7 OR 9 FOR FULL TEXT)
E-Trading Platforms Proliferate, But How Many Will Survive?
Carpenter-Kasprzak, Sheri
Bond Buyer, 333, 30980, 1
Sept 21, 2000

...   the survey said, have introduced or plan to introduce electronic
transaction systems that will allow **dealers** to **anonymously** execute
transactions in **securities** through proprietary **networks** .
     Multi- **dealer** systems, or systems that provide customers with
consolidated orders from two or more dealers as...

 23/3,K/37   (Item 2 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB
(c)2004 The Gale Group. All rts. reserv.

12270375   SUPPLIER NUMBER: 62985694   (USE FORMAT 7 OR 9 FOR FULL TEXT)
Market Axess Throws Its Hat Into the Electronic Trading Ring.
Preston, Darrell
Bond Buyer, 332, 30921, 1
June 27, 2000

TEXT:
     As **online** **bond** - **trading** platforms proliferate, it is becoming
clear that the many services' drive to differentiate themselves means...

...Market Axess, which is scheduled to go live next month with a platform
targeting large- **block** **trades** of a wide variety of fixed-income
securities between and among broker-dealers and **institutional** **investors**
, has announced that it will reveal the identities of all sellers and.
buyers on its...

...bringing a multi-dealer approach to providing price and inventory
information along with research to **institutional** **investors** , according
to Richard McVey, chief executive officer of Market Axess. "In many cases
what you...

...DESCRIPTORS: **Electronic** **trading** (**Securities**)--

 23/3,K/38   (Item 3 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB
(c)2004 The Gale Group. All rts. reserv.

12208457   SUPPLIER NUMBER: 62499882   (USE FORMAT 7 OR 9 FOR FULL TEXT)
Another Heavyweight Enters the Online Muni Ring.(Brief Article)
Stanton, Michael
Bond Buyer, 332, 30905, 29
June 5, 2000

TEXT:
     ...marketplace and bringing still more players. TheMuniCenter is
obviously not alone in the field of **online** municipal **bond** **trading** . In
recent months, the market has faced an onslaught of announcements of new
online-trading...

...revolutionary difference in the market from a price transparency

standpoint by giving broker-dealers and **institutional investors** the ability to instantly spot pricing disparities between different trading desks. But a little revolution...

...desks, an idea Thomas Vales, TheMuniCenter's chief executive, says he would consider pursuing. The **online bond - trading** landscape is changing every day. Look for more headlines. IRS REACTIONS PERCOLATE A recent column...

...as if the tobacco deals came to market under cover of darkness. It could have **alerted** the market to its interest in the field before the deals closed. In a similar...

 23/3,K/39   (Item 4 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB
(c)2004 The Gale Group. All rts. reserv.

11916812   SUPPLIER NUMBER: 59871110   (USE FORMAT 7 OR 9 FOR FULL TEXT)
The ECN Dilemma : Blasting fragmentation, Wall Street calls for a
  centralized market structure that threatens the upstarts.(complaints of
  unfair competition)
Celarier, Ian Springsteel & Michelle
Investment Dealers' Digest, ITEM00068009
March 6, 2000
ISSN: 0021-0080   LANGUAGE: English   RECORD TYPE: Fulltext
WORD COUNT: 3930   LINE COUNT: 00307

...`   a year-long period of informal discussions with full-service institutions, ECNs, issuers, discount brokers, **institutional investors** and others by SEC Chairman Arthur Levitt and the commission staff. The SEC released its...is owned by multiple partners, including Merrill Lynch, Instinet, Goldman Sachs, J.P. Morgan, and **Institutional Investor** American Century Companies, among others. In addition to founder Spear, Leeds, other investors in RediBook...s because the big Wall Street firms want an exception to the CLOB for large **block trades** , given their ability to move the market. Indeed, Merrill Lynch's Komansky, in his written testimony for the hearing, supported the exemption for **block trades** , noting that "size trumps time." Allowing brokers to hold back those trades, he said, would...

...DESCRIPTORS: **Electronic trading (Securities)**--

 23/3,K/40   (Item 5 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB
(c)2004 The Gale Group. All rts. reserv.

11275706   SUPPLIER NUMBER: 55431283   (USE FORMAT 7 OR 9 FOR FULL TEXT)
With the Click of a Mouse, MBIA Provides Insurance Over the Internet.(Brief
  Article)
Heaton, Kenneth
Bond Buyer, 329, 30703, 44
August 12, 1999
DOCUMENT TYPE: Brief Article   ISSN: 0732-0469   LANGUAGE: English
RECORD TYPE: Fulltext
WORD COUNT: 408   LINE COUNT: 00035

...   Murray L. Finebaum, chairman and chief executive officer of Trading Edge, a fixed-income securities **broker** , created BondLink as an **anonymous**

, secure, real-time service for **trading** **bonds** over the **Internet** .
Before leading Trading Edge, Finebaum was president and CEO of Instinet
Corp., an electronic brokerage...

23/3,K/41   (Item 6 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB
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10366889   SUPPLIER NUMBER: 20993576   (USE FORMAT 7 OR 9 FOR FULL TEXT)
Trading Systems: Cantor, CBOT Spar Over Proposed Futures Exchange.
Whalen, Robert
Bond Buyer, v324, n155, p34(1)
August 5, 1998
ISSN: 0732-0469   LANGUAGE: English   RECORD TYPE: Fulltext
WORD COUNT: 989   LINE COUNT: 00082

...   LP's proprietary network, will match bids wanted with bids offered
in a real-time, **anonymous** environment, said Cantor spokeswoman Debra
Walton.
       The system is already being used by a small group of **broker - dealers**
, although further details were not yet available, Walton said.
       Electronic secondary **trading** of municipal **bonds** has been viewed
by many market **participants** as the next logical step in the technological
evolution of the public finance industry. And...

23/3,K/42   (Item 7 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB
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09293150   SUPPLIER NUMBER: 19033712   (USE FORMAT 7 OR 9 FOR FULL TEXT)
The offering and distribution of securities in cyberspace: a review of
  regulatory and industry initiatives.(Blue Sky Survey)
Gavis, Alexander C.
Business Lawyer, 52, n1, 317-378
Nov, 1996
ISSN: 0007-6899   LANGUAGE: English   RECORD TYPE: Fulltext; Abstract
WORD COUNT: 33460   LINE COUNT: 02746

...   domestic and foreign broker-dealers and their institutional
clients. The system provided broker-dealers and **institutional   investors**
with a means of **electronically** communicating from the time a **securities**
 order was executed to the time the trade was settled.
     The requesting letter sought two specific...This involves converting
the document into ASCII(134) text and inserting special "marker tags,"
which **flag** key format and content information for EDGAR processing. The
filing is then transmitted by tape...We read postings off various services.
Those that sound too good to
     be true are **flagged** . We then check registration of the seller and
the
     securities. There is a national computer...Maryland School of Law).
(167.) See Ask The Analyst About Electronic Communications, NASD
REGLULATORY & COMPLIANCE **ALERT** , Apr. 1996, at 4-6. (168.) Id. at 4.
Therefore, under the Conduct Rules, a...

23/3,K/43   (Item 8 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB
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...   trends that it believes will continue to influence the evolution of
equity market regulation: (i) " **institutional   investors** will continue to
account for a majority of trading volume,"(18) (ii) "global trading will...

...this concern.
   CHANGES IN THE INVESTOR COMMUNITY
   By now it is a commonplace understanding that **institutional
investors** (most notably, public and private pension plans, mutual funds
and other investment companies, bank trust...commission rates in 1975
significantly furthered an earlier process of reducing the transaction
costs of **institutional   investor** equity trades.(26) The Brady Report
estimated that between April 1975, just before the unfixing...

...securities. It was understood, even before enactment of the Securities
Act of 1933,(30) that **institutional   investors** did not need the
mandatory disclosure system of that Act to protect themselves when
acquiring...

...be assembled by analyzing the markets in terms of commission rates and
soft dollars for **block   trades** , small orders, and intermediate-sized
orders, however the last two categories are defined.
   Similarly, while...

...and new fourth markets and proprietary trading systems - alternative
trading systems largely of value to **institutional   investors** -
relatively little discussion has been published of how small investors
might, in the future, use...from desk-top terminals.(58) Other computer
information systems such as Autex and Instinet permit **institutional
investors** to communicate directly (off the exchange floor) their interest
in buying or selling blocks of...390) because this might upset a regulatory
structure designed to accommodate both smaller "retail" and **institutional
 investors** . Instead, the report sought a pragmatic middle ground.(76) As
the Division wrote:
   The Division...is slightly less than the amount of third market
trading at the time of the **Institutional   Investor** Study. The data for
the first six months of 1993 reveals that the OTC market...institutions and
broker-dealers. The sponsors of PTSs designed them to fulfill the needs of
institutional   investors not satisfied by traditional markets. Although
use of these systems is growing, their market share...II, at II-15 to
II-16. (21.) Id. at 32. (22.) The increase in **institutional   investor**
ownership has been slow but steady during the 60 year period after the
enactment of...

...the New York Stock Exchange (NYSE) estimated the holdings of its listed
stocks by selected **institutional   investors** (insurance companies,
investment companies, non-insured pension funds, foreign institutions,
nonprofit institutions, common trust funds...

...55 (1985).

In November 1988, a study prepared for the Columbia University School of Law **Institutional Investor** Project, in consultation with the NYSE, updated data concerning institutional investment. Carolyn Kay Brancato & Patrick A. Gaughan, The Growth of **Institutional Investors** in U.S. Capital Markets (Nov. 1988). The study calculated that as of 1987, five categories of **institutional investors** held total assets of $4644.4 billion, with pension funds holding $2018.8 billion (or 43.5% of the total **institutional investor** assets); investment companies, $790.4 billion (17%); insurance companies, $1,011.2 billion (21.8...

...billion (14.9%); and foundations and endowments, $130.6 billion (2.8%). As of 1986 **institutional investors** had equity holdings of $1327.2 billion, or approximately 42.7% of total public trading on the NYSE. By 1990, the project estimated that all **institutional investors** accounted for 53.3% of public and private outstanding equity. Carolyn Kay Brancato & Patrick A. Gaughan, **Institutional Investors** and Capital Markets 8 (Sept. 1991) hereinafter Brancato & Gaughan, **Institutional Investors** |. Institutional equity holdings in the largest 100 corporations as of that date were slightly higher...

...Fact Book 56 (1985). Data, covering the period from May to December 1985, found that **institutional investors** accounted for 61.1% of NYSE publicly traded stock, with retail customers accounting for 38.9%. Brancato & Gaughan, **Institutional Investors** , supra note 22, at 15. **Institutional investor** participation rates are lower in other markets. The same study estimated that they accounted for...

...members. When proprietary trading is thrown into the scales, the percentage of trading by both **institutional investors** and other retail customers declines. For example, in October 1987, the Securities Industry Association estimated...is OTC trading of exchange-listed securities. Third market transactions include, for example, executions of **block trades** off an exchange and transactions executed by third market makers who are not members of...be a larger and more liquid fourth market-i.e., many large financial institutions and **institutional investors** trading with each other over electronic proprietary trading systems, which are not now regulated as national securities market system appeared in the transmittal letter accompanying the publication of its **Institutional Investor** Study in March 1971. Disclaiming any intent to mandate or describe in detail the future...

...is controlled not only by appropriate regulation but also by the forces of competition." SEC, **Institutional Investor** Report, H.R. Doc. No. 64, 92d Cong., 1st Sess. XXV (Aug. 11, 1971).
　　　Five...18. The Division also proposed better display of SelectNet orders by which NASD members negotiate **securities transactions** through computer **automation** . Id. at 19-20. (126.) Id. at 27. The Report states: Section 31 of the...

...of PTSs primarily can be attributed to two factors. First, PTSs fulfill the needs of **institutional investors** not satisfied by the traditional markets. For example, some "matching systems" compliment the trading needs ...trading systems to accomplish this.
　　　PTSs have combined technology and features that are attractive to **institutional investors** to gain an increasing share of volume in the past few years. For the first...2 Special Study, Supra note 2, at 302. (147.) Id. at 302-11. (148) 4 **Institutional Investor** Study Report of the SEC, H.R. Doc. No. 64, 92d Cong., 1st Sess. 2183...

06754034   SUPPLIER NUMBER: 14547458   (USE FORMAT 7 OR 9 FOR FULL TEXT)
Structural changes in trading stocks.
Madden, Bartley J.
Journal of Portfolio Management, v20, n1, p19(9)
Fall, 1993
ISSN: 0095-4918   LANGUAGE: ENGLISH   RECORD TYPE: FULLTEXT; ABSTRACT
WORD COUNT: 5296   LINE COUNT: 00432

...   traded small firms.
     A government policy to remove the regulatory barriers blocking the
advances of **electronic   securities   trading** would enable all types of
investors to trade small company shares at very low cost...not be
discriminated against for reasons of size. Almost always one side of a
large **block   trade** wants to buy (or sell) more shares than the other
side, and many times smaller investors will view a **block   trade** as
occurring at a favorable price. Smaller investors should have the
opportunity to fill, at the block price, the otherwise unmet needs of one
side of the **block   trade** .
     3. Confidentiality of Large Orders. Large traders need an efficient
means to probe the other...be a high-volume trade.
     Second, prices established at electronic call auctions or from large
block   trades on the exchanges or on the proprietary systems are plainly
much less frequent than the...

...each order whether the shares are "participatory." Participatory shares
are eligible for inclusion in large **block   trades** at prices close to the
investors' limits.
     For an individual stock, the exchange sets a...

...maximum amount a buyer could pay above the limit price to participate in
a large **block   trade** . Similarly, the differential reflects the maximum
amount by which a seller would decrease the limit price in order to
participate in a large **block   trade** .
     Often, traders on both the buy side and the sell side would be
satisfied to...know the other exists.
     Small traders are decidedly more willing to participate in a large
block   trade close to their limit prices in the warranted belief that
large block prices are very...

...sample trade are presented in the appendix. It extends our example to
show how a **block   trade** eventually would be filled. Importantly, the
"excess" or unfilled portion of one side of the **block   trade** would be
assembled out of smaller orders at the block price. These smaller investors
would...

...participatory, and their price limits would have enabled them to be a
part of the **block   trade** . This structure therefore directly addresses
the SEC's concern for integrating individual and institutional trades...

...specialists theoretically could minimize intermediation.
     In practice, off-the-floor traders are motivated to assemble **block
trades** independently of specialists. Block traders promote their skill at
finding the other side and minimizing...

...participatory limit orders, these small investors would achieve more
frequent trades within the spread where **block   trades** often occur.

In summary, YLT could provide a new structure enabling the NYSE to better...

...volume of shares traded or trading hours, and allow participation by retail as well as **institutional   investors** . Moreover, any assignment of regulatory costs to protect investors should reflect the degree of safety ...differential that sets the maximum (buy) and minimum (sell) .prices is 1/4. A large **block   trade** can now be assembled:

	Buying		Selling	
Trader	Shares	Trader	Shares
G	100,000	I	85...

...giving a 30 1/4 maximum price, which is more than the 30 1/8 **block trade** price and therefore eligible for inclusion. A shares are not participatory. C shares have a...16,000. Hence, 16,000 additional shares are crossed as shown in the final executed **block   trade** of 101,000 total shares. Note that only 1,000 of the eligible 7,000...

23/3,K/45   (Item 10 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB

05589071   SUPPLIER NUMBER: 11710389   (USE FORMAT 7 OR 9 FOR FULL TEXT)
Trading stock around the clock: the future growth of global electronic markets.
Freund, William C.
California Management Review, v34, n1, p87(16)
Fall, 1991
ISSN: 0008-1256   LANGUAGE: ENGLISH   RECORD TYPE: FULLTEXT; ABSTRACT
WORD COUNT: 7804   LINE COUNT: 00638

...ABSTRACT: being jeopardized by aggressive competitors. Someday, there will be around-the-clock, around-the-world **automated   stock   trading** . But the simple assumption that such trading lurks around the corner ignores a number of...

TEXT:
    ...the twentieth century. It accords with other breakthroughs in communications and the development of giant **institutional   investors** which operate out of financial markets in New York, Tokyo, Frankfurt, Zurich, Amsterdam, Brussels, and...
...   take over at the New York Stock Exchange (NYSE) and in other equity markets. Fully **electronic   stock   trading** is likely to evolve slowly, over a period of a decade or longer.
    So far...

...execute prearranged cross trades at the official closing price. Buy and sell orders are matched **electronically** . Members are also allowed to **trade** "baskets" of **stocks** with a total market value of at least $1 million at a session open from...

...formidable challenge.[5]
    A Known Technology
    If there is any doubt about the feasibility of **automating   stock trade** , one need only look at markets for other financial instruments. In 1981, Reuters launched its...include an electronic order-matching system called "Instinet," owned by Reuters Holdings, and "Posit," an **automated**

system for **trading** baskets of **stocks** , owned by the Jeffries Group.[14]
Reuters' Instinet subsidiary also provides The Crossing Network, designed
...

...of combining institutional and individual trading. Off-hours trading may
lead to market fragmentation if **institutional investor** orders are
allowed to be executed off-board in a variety of places and systems...this
plan, see the final section of
        this article. [10]Large orders are often termed **block trades** ,
which the NYSE defines as trades of 10,000
        shares or more. [11]"The Wild, Wired World of Electronic Exchanges,"
Institutional Investor Magazine
        (September 1989), p. 93. [12]Mr. John Redwood, U.K. Corporate Affairs
Minister, recently...

...for smaller investors and for trading smaller companies. The Financial
        Times, August 14, 1990. [13] **Institutional Investor** Magazine (July
1990), p. 190. London's international volume
        exceeds its trading in U.K...

...Chairman John Phelan once commented: "Technology and
        communication bring efficiency. Money is made in inefficiency." [
Institutional Investor
        Magazine
        (September 1989), p. 92.] [16]That rule was approved by the SEC to
avoid...

 23/3,K/46   (Item 11 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB
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04165267   SUPPLIER NUMBER: 08792175   (USE FORMAT 7 OR 9 FOR FULL TEXT)
Technology and performance: the evolution of market mechanisms.
Wright, David J.
Business Horizons, v32, n6, p65(5)
Nov-Dec, 1989
CODEN: BHORA   ISSN: 0007-6813   LANGUAGE: ENGLISH   RECORD TYPE:
    FULLTEXT
WORD COUNT: 4219   LINE COUNT: 00339

...   with their substantially larger transaction orders.
        One benchmark of institutional activity is the number of **block
trades** (defined as transactions of 10,000 shares or more), because **block
 trades** are primarily executed by institutions rather than individuals. In
1965, **block trades** made up only 3 percent of NYSE-reported share
volume; currently, **block trades** make up the majority of the volume.
Another indication of the growing institutional participation is...

...trading activities. As a result, increasing numbers of Americans are
returning to the market as **institutional investors** themselves-mutual
fund shareholders.
        Legislative Pressures and the Specialist's Role
        The growth in institutional...transactions, but the specialists do
attempt to assure all customers a chance to participate in **block trades**

        Specialists who might have viewed technology with distrust have been
forced to accept automation as...with rival exchanges, the NYSE is
considering trading stocks 24 hours per day. With advanced **order** -matching
technology, **stocks** could be traded **electronically** during the hours the

exchange floor is closed. Furthermore, the overnight electronic market
would likely...

...of a stock exchange ticker tape. The system has made OTC stocks more
alluring to **institutional investors** because the trading information is
accurate and timely As more institutions invested in OTC stocks...Political
Economy, May-june 1973, pp. 637-659.
        S. Hansell, "Preparing For Billion-Share Days," **Institutional
Investor** , October 1988, pp. 191-193.
        S. Hansell, "The Moving Target," **Institutional Investor** , January
1989, pp. 111-117.
        R. Klemkosky and D. Wright, "The Changing Structure of the...

 23/3,K/47   (Item 12 from file: 148)
DIALOG(R)File 148:Gale Group Trade & Industry DB
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03522673   SUPPLIER NUMBER: 06418326   (USE FORMAT 7 OR 9 FOR FULL TEXT)
**Chicago traders' unnatural pessimism. (the U.S. futures and options
   exchanges)**
Evans, Garry
Euromoney, p107(4)
April, 1988
ISSN: 0014-2433   LANGUAGE: ENGLISH   RECORD TYPE: FULLTEXT; ABSTRACT
WORD COUNT: 3438   LINE COUNT: 00267

...   came, the futures markets took much of the selling pressure because
it could handle large **block trades** more cheaply and quickly than the
stock market. Selling a $120 million portfolio of stocks off the hook so
easily. Portfolio insurance involves the **automatic buying** of **stocks**
or futures as the market rises, and their sale as it falls. In retrospect,
it...suffered especially badly. Increased margins and higher premiums on
options have hit liquidity and many **institutional investors** have been
put off by the critical media coverage.
        In the wake of reduced liquidity...

 23/3,K/48   (Item 1 from file: 275)
DIALOG(R)File 275:Gale Group Computer DB(TM)
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01582850   SUPPLIER NUMBER: 13357750   (USE FORMAT 7 OR 9 FOR FULL TEXT)
Trading department support systems. (1993 edition) (Buyers Guide)
Wall Street & Technology, v10, n5, p53(11)
Jan, 1993
DOCUMENT TYPE: Buyers Guide   ISSN: 1060-989X   LANGUAGE: ENGLISH
RECORD TYPE: FULLTEXT; ABSTRACT
WORD COUNT: 12925   LINE COUNT: 01160

...   Cambridge Technology, East Brunswick, NJ
        SPAR
        Any IBM PC/compatibles
        A completely integrated and comprehensive **on - line** , real-time
trading /multicurrency **securities** processing/trust accounting system for
multiuser PC   ...4329 See Advertisement Pages 6-7
        CrossCom Fixed Income Trading Network, Inc.
        CrossCom enables qualified **institutional investors** to trade
directly and anonymously with other institutions and broker-dealers around
the world. Corporate...messages that indicate interest in buying or selling

blocks of stock as well as advertise **block   trades** .
        ZAI NET Software, Inc., 747 3rd Ave., 34th Fl., New York, NY 10017;
Contact Debbie...

 23/3,K/49   (Item 2 from file: 275)
DIALOG(R)File 275:Gale Group Computer DB(TM)
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01555813   SUPPLIER NUMBER: 12182318   (USE FORMAT 7 OR 9 FOR FULL TEXT)
Portfolio accounting and back office systems. (special advertising
  directory) (Directory)
Wall Street & Technology, v9, n9, pP1(27)
May, 1992
DOCUMENT TYPE: Directory   ISSN: 1060-989X   LANGUAGE: ENGLISH
RECORD TYPE: FULLTEXT; ABSTRACT
WORD COUNT: 6939   LINE COUNT: 00629

...   needs for the fixed income market. Features include:
      * cash management
      * fail management capabilities for both **securities** and cash
      * **trade** and settlement date based reporting
      * **automatic** P&I collections
      * complete MBS & MBS derivative back-office accounting support
      * multiple account and portfolio...Securities Management System
      The Magnus Software Securities Management System has been developed
to assist the **institutional   investor** achieve the best overall return
for debt and equity portfolios, including derivatives and foreign
securities...UNIX/AIX (RS6000) environments to provide optimal growth
flexibility.
      Additional Modules to enhance your solution:
      * **Block   Trader**
      * Auto G/L
      * Corporate Actions
      * Autoload
      * Pricing Interfaces
      * IQ Report Writer
      Features:
      * A full unlimited...

 23/3,K/50   (Item 3 from file: 275)
DIALOG(R)File 275:Gale Group Computer DB(TM)
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01467319   SUPPLIER NUMBER: 11723612   (USE FORMAT 7 OR 9 FOR FULL TEXT)
Staying in the middle: ...brokers are fighting to keep their role in the
  market. (includes related article on crossing networks)
Schmerken, Ivy
Wall Street Computer Review, v9, n3, p18(6)
Dec, 1991
ISSN: 0738-4343   LANGUAGE: ENGLISH   RECORD TYPE: FULLTEXT; ABSTRACT
WORD COUNT: 2863   LINE COUNT: 00230

ABSTRACT: Stock brokerage firms are giving **institutional   investors**
more control over the management of their transactions by providing direct
access via in-office...

...are also providing crossing networks for passive index fund managers not
in a rush to **trade** . **Securities** firms are connecting the crossing

networks to SuperDOT access, allowing institutions the ability to swiftly execute unmatched orders. Allowing direct access...

TEXT:
   Institutional   investors are gaining more control over managing their **stock   transactions** as brokerage firms provide direct **electronic** access to automated small order execution systems like the New York Stock Exchange's SuperDOT...
...   Calif. Wunsch Auction Systems's SPAworks, a computerized single price auction, is another way for **institutional   investors** to bypass brokers and trade with each other.
   To hold on to the order flow, broker/dealers are willing to provide **institutional   investors** with powerful electronic execution facilities and analytics. Whether crossing networks are viable businesses that generate...

...Quant-Ex. The system allows quantitative money managers to write their own trading rules to **trigger** an execution via the NYSE's SuperDOT system and POSIT. As of October, Quant-Ex...

...the American Stock Exchange and NASDAQ. An institution linked to Match Plus can set an **alert** in case the order is not crossed by 3:00 p.m. and instruct the...wouldn't have the same control over the trading process as they might with a **block   trade** , because the order may not get crossed, says John Colon, vice president of Greenwich Associates...the SuperDOT interface software, designed by the brokers, make it possible for institutions to set **alerts** for sending their order down to the floor and to pull their orders if they...

 23/3,K/51   (Item 4 from file: 275)
DIALOG(R)File 275:Gale Group Computer DB(TM)
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01376813   SUPPLIER NUMBER: 09420455   (USE FORMAT 7 OR 9 FOR FULL TEXT)
**The bulls and bears come out at night; electronic trading. (includes
   related article on off-floor business in Europe)**
Schmerken, Ivy
Wall Street Computer Review, v7, n12, p14(9)
Sept, 1990
ISSN: 0738-4343   LANGUAGE: ENGLISH   RECORD TYPE: FULLTEXT; ABSTRACT
WORD COUNT: 6611   LINE COUNT: 00516

...   SYSTEMS ARE CHALLENGING dominant role of leading stock exchanges in North America and Europe as **institutional   investors** experiment with electronic ways of driving down transaction costs on the one and participate in...

...spread on the New York Stock Exchange (NYSE) floor.
   The trend reflects the power of **institutional   investors** -pension funds, investment managers, index funds and mutual funds-to invest in stocks based on...

...the floor.
   Siphoning Off the NYSE
   The Big Board also is losing its share of **trades** in listed **stocks** to **automated   trading** systems, such as Instinet, a **computerized** , interactive, equity negotiating system, operated by Reuters Holdings PLC, the British information carrier. Volume has...

...that are members of the NYSE also have threatened to set up their own institutional **network** to **trade** NYSE-liSted **stocks** off the NYSE floor.
    Money Managers Get Tough
    U.S. money managers say they are...he adds. Hence, some money managers use DOTfor small tickets but avoid it for larger **block** **trades** in excess of 10,000 shares. "No one in his right mind would put an...to five cents a share.
    Alternative methods for off-floor trading are being developed for **institutional** **investors** who do not need to pay a premium fee for immediacy.
    Maverick Bests NYSE Spread...an off-floor trading arena. The NYSE is trying to meet these evolving requirements from **institutional** investors and upstairs dealers while at the same time being responsive to the vested interests of...with links to a common information system; London proposed a European Wholesale Market geared toward **institutional** **investors** , utilizing the SEAQ-I (Stock Exchange Automated Quotation International) operating in London as a model...
...K. and U.S. stocks, and is adding more markets in the future. The Crossing **Network** , its companion system for **trading** portfolios of **stocks** , is also **trading** foreign equities in the U.S. to tap the interest of domestic clients.
    Instinet is...

23/3,K/52   **(Item 5 from file: 275)**
DIALOG(R)File 275:Gale Group Computer DB(TM)
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01320538   SUPPLIER NUMBER: 07931076   (USE FORMAT 7 OR 9 FOR FULL TEXT)
Software. (1990 Buyer's Guide Issue) (buyers guide)
Wall Street Computer Review, v7, n2, p27(95)
Nov, 1989
DOCUMENT TYPE: buyers guide   ISSN: 0738-4343   LANGUAGE: ENGLISH
RECORD TYPE: FULLTEXT; ABSTRACT
WORD COUNT: 56121   LINE COUNT: 04923

...   1000 Winter St., Waltham, MA 02154 MoneyMarket II DEC VAX & Micro VAX
    A fully integrated **on - line** , real-time fixed income **securities** trading system, answering every demand from the trading room to the operations area. Supports the capital...PC's & Novell Networks
    Real-time, multi-user portfolio management and accounting systems for sophisticated **institutional** **investors** .
    Quotient Inc., 45 Broadway, New York, NY 10006 CMARK $ On Request DEC VAX
    Realtime positions...1000 Winter St., Waltham, MA 02154 MoneyMarket II DEC VAX & Micro VAX
    A fully integrated **on - line** , real-time fixed income **securities** **trading** system, answering every demand from the trading room to the operations area. Supports the capital...PC's & Novell Networks
    Real-time, multi-user portfolio management and accounting systems for sophisticated **institutional** **investors** .
    Shaw Data Services, Inc., 122 E. 42nd St., New York, NY 10168; Contact Deborah A...80286 & 80386 microcomputers
    PC-based real-time equity/equity options trade monitor. Alerts trader to **block** **trades** for all listed equities/equity options, and calculates the implied volatility for each option **block** trade .
    Cohen, Davis & Marks, 2112 Broadway, New York, NY 10023 CDGM System $ On Request IBM PC...

...80286 & 80386 Microcomputers

PC-bsed real-time equity/equity options trade monitor. Alerts trader to **block   trades** for all listed equities/equity options, and calculates the implied volatility for each option **block   trade** .

Emerging Market Technologies, 3781 Presidential Pkwy., Suite 10, Atlanta, GA 30341; Contact Jeffrey Multz; 404...1000 Winter St., Waltham, MA 02154 MoneyMarket II DEC VAX & Micro VAX

A fully integrated **on - line** , real-time fixed income **securities trading** system, answering every demand from the trading room to the operations area. Supports the capital...PC's & Novell Networks

Real-time, multi-user portfolio management and accounting systems for sophisticated **institutional   investors** .

Securities Software & Consulting, Inc., 705 Bloomfield Ave., Bloomfield, CT 06002 CAMRA Minicomputers, LANS

Provides fully...Page 81 Dimension 3000 Hewlett Packard

Encompasses GNMA, FNMA, FHLMC. Historical database containing 500,000 **securities** . **Automatic   transaction** generation for paydowns, interest. Complete trading system. Comprehensive reports. Asset backeds, CMOs by 12/89...1000 Winter St., Waltham, MA 02154 MoneyMarket II DEC VAX & Micro VAX

A fully integrated **on - line** , real-time fixed income **securities trading** system, answering every demand from the trading room to the operations area. Supports the capital...St., Wellesley, MA 02181 PMIS DEC VAX/VMS

Comprehensive multi-currency portfolio management system for **institutional   investors** or custodians. Application includes securities database, portfolio accounting, performance measurement, analysis, asset allocation, inquiry, trading...

...1000 Winter St., Waltham, MA 02154 MoneyMarket II DEC VAX & Micro VAX

A fully integrated **on - line** , real-time fixed income **securities trading** system, answering every demand from the trading room to the operations area. Supports the capital...

...PC's & Novell Networks Real-time, multi-user portfolio management and accounting systems for sophisticated **institutional   investors** .

Security APL, 964 3rd Ave., 7th Fl., New York, NY 10022; Contact Jamie Waller; 212...basis.

Wismer Associates, Inc., 22134 Sherman Way, Canoga Park, CA 91303 Series 2 Prime

Provides **institutional   investors** with securities accounting, portfolio management, operations and trading support for the full range of security...St., Wellesley, MA 02181 PMIS DEC VAX/VMS

Comprehensive multi-currency portfolio management system for **institutional   investors** or custodians. Application includes securities database, portfolio accounting, performance measurement, analysis, asset allocation, inquiry, trading...

...PC's & Novell Networks

Real-time, multi-user portfolio management and accounting systems for sophisticated **institutional   investors** .

Savant Corp., 1211 Katy Frwy., Suit 250, Houston, TX 77079 The Investor's Portfolio $495...1000 Winter St., Waltham, MA 02154 MoneyMarket II DEC VAX & Micro VAX

A fully integrated **on - line** , real-time fixed income **securities trading** system, answering every demand from the trading room to the operations area. Supports the capital...St., Wellesly, MA 02181 PMIS DEC VAX/VMS

Comprehensive multi-currency portfolio management system for **institutional   investors** or custodians. Application includes securities database, portfolio accounting, performance measurement, analysis, asset

allocation, inquiry, trading...

...1000 Winter St., Waltham, MA 02154 MoneyMarket II DEC VAX & Micro VAX
     A fully integrated **on - line** , real-time fixed income **securities
trading** system, answering every demand from the trading room to the
operations area. Supports the capital...PC's & Novell Networks
     Real-time, multi-user portfolio management and accounting systems for
sophisticated **institutional investors** .
     Quantec/Quantitative Analysis, 114 Liberty St., 8th Fl., New York, NY
10006 The International Risk...and updated - intra-day charting, -
technical analysis, price/volume active, limit alarms, time and sales,
block trades , communications for 60,000 quotes. -formula maker for
spreads/ratios/basket-maker.
     FutureSource, 955 Parkview...30XX Series; Operating systems: IBM OS,
MVS; Language: COBOL
     A real-time modular system supporting **securities trading** ,
clearance and custody. Includes extensive **automated** links to DTC,
mortgage-backed processing and a program trading interface for trade list
processing...accounting, performance evaluation, trading system, and
dynamic financial reporting system for professional money managers and
institutional investors .
     Alpine Data, Inc., 737 S. Townsend Ave., Montrose, CO 81401 OIL/PACK
$3,995 IBM...

 23/3,K/53   (Item 6 from file: 275)
DIALOG(R)File 275:Gale Group Computer DB(TM)
(c) 2004 The Gale Group. All rts. reserv.

01310389   SUPPLIER NUMBER: 07701786   (USE FORMAT 7 OR 9 FOR FULL TEXT)
OTC success spurs specialized trading systems. (over the counter trading)
Matthew, Janet
Wall Street Computer Review, v6, n12, p26(7)
Sept, 1989
ISSN: 0738-4343   LANGUAGE: ENGLISH   RECORD TYPE: FULLTEXT; ABSTRACT
WORD COUNT: 4197   LINE COUNT: 00330

...ABSTRACT: left the market and large investors have been taking up the
slack in OTC. Big **block trades** comprise 43 percent of total volume on
the Nasdaq National Market System. These developments have...
...   stocks more attractive than the pricier, better-known blue-chip
stocks. Since January 1989, big- **block trades** account for 43 percent of
total volume on Nasdaq's National Market System.
     Computerization is...

...exchange."
     To keep up with the market upsurge, many of the larger market makers
and **institutional investors** have designed and developed in-house
trading systems over the past few years that can...see "Trading
Technology," p. 9), makers of TR-AID--a real-time application that provides
 automated securities trading in a fault-tolerant Stratus hardware
environment. Along with providing the

 23/3,K/54   (Item 7 from file: 275)
DIALOG(R)File 275:Gale Group Computer DB(TM)
(c) 2004 The Gale Group. All rts. reserv.

01245625   SUPPLIER NUMBER: 06728253   (USE FORMAT 7 OR 9 FOR FULL TEXT)
Vendor-sponsored directory. (third-party vendor alliances of interest to

the financial community) (directory)
Wall Street Computer Review, v5, n8, p42(14)
May, 1988
DOCUMENT TYPE: directory   ISSN: 0738-4343   LANGUAGE: ENGLISH
RECORD TYPE: FULLTEXT; ABSTRACT
WORD COUNT: 9096   LINE COUNT: 00846

...   The Disclosure Database contains detailed financial and management
information on over 12,000 companies that **trade** their **stock** in the
United States.
         * Financial **On - Line** Database DOW JONES NEWS/RETRIEVAL P.O. Box
300 Princeton, New Jersey 08540 Marketing Department...

...The Disclosure Database contains detailed financial and management
information on over 12,000 companies that **trade** their **stock** in the
United States.
         * Financial **On - Line** Database COMPUSERVE EIS & BIS 5000 Arlington
Centre Blvd., P.O. Box 20212 Columbus, Ohio 43220...
...The Disclosure Database contains detailed financial and management
information on over 12,000 companies that **trade** their **stock** in the
United States.
         * Financial **On - Line** Database MEAD DATA CENTRAL P.O. Box 1830
Dayton, Ohio 45401 Marketing Department (800) 227...

...The Disclosure Database contains detailed financial and management
information on over 12,000 companies that **trade** their **stock** in the
United States.
         * Financial **On - Line** Database ADP NETWORK SERVICES 175 Jackson
Plaza Ann Arbor, MI 48106 Marketing Department (313) 995...

...The Disclosure Database contains detailed financial and management
information on over 12,000 companies that **trade** their **stock** in the
United States.
         * Financial **On - Line** Database BRS INFORMATION TECHNOLOGIES 555
East Lancaster St. David's PA 19087 Marketing Department (800 and
management information on over 12,000 companies that **trade** their **stock**
in the United States.
         * Financial **On - Line** Database QUOTRON One Battery Park Plaza New
York, NY 10004 Marketing Department (212) 344-0400...415) 861-8900
         THESIS
         THESIS is a VM-based (S/370) investment management system for
institutional   investors that integrates all functions associated with
trading, operations, and accounting for all fixed-income and...access to
market data (quote, trade, highs, lows, volumes and news information).
Features NYSE tape, **Block   Trades** , Dow Jones, Reuter Ticker,
Knight-Ridder, Market Monitor.
         * Client Management INTELLEX Suite 22L, 211 W...

 23/3,K/55   (Item 1 from file: 636)
DIALOG(R)File 636:Gale Group Newsletter DB(TM)
(c) 2004 The Gale Group. All rts. reserv.

04706487   Supplier Number: 63064445   (USE FORMAT 7 FOR FULLTEXT)
**Italy's largest banking group chooses OpenTrade's Orbita for real-time
  e-trading.**
M2 Presswire, pNA
June 30, 2000
Language: English   Record Type: Fulltext
Document Type: Magazine/Journal; Trade

Word Count: 774

...   group, has chosen Orbita middleware from OpenTrade as the
intelligent digital backbone of its new **flagship** , Internet-based, retail
e-trading service, IntesaTrade.
        Gruppo Intesa is investing a total of some moderate price.
        IntesaTrade is a leading-edge **Internet** -based investment and
securities   trading service that enables customers using an ordinary PC
to trade in securities listed on the...

...and other investor decision support tools which up until now have been
available only to **institutional   investors** .
        Key requirements of the IntesaTrade Web Site are the highest possible .
level of security and...display information in real-time.
        Because OpenTrade is dedicated to Open standards, its cutting-edge
flagship product, Orbita, works across the widest variety of platforms to .
provide industrial strength, business-oriented...

 23/3,K/56   (Item 2 from file: 636)
DIALOG(R)File 636:Gale Group Newsletter DB(TM)
(c) 2004 The Gale Group. All rts. reserv.

03798203   Supplier Number: 48233322   (USE FORMAT 7 FOR FULLTEXT)
ECN MAY FIGHT NASDAQ-OPTIMARK DEAL
Wall Street Letter, v30, n3, pN/A
Jan 19, 1998
Language: English   Record Type: · Fulltext
Document Type: Newsletter; Professional Trade
Word Count: 314

    (USE FORMAT 7 FOR FULLTEXT)
TEXT:
...NASD's charter as a self- regulatory organization, asserted Josh Levine,
head of Island, an **electronic** communications **network** (ECN) that
executes **orders** for Nasdaq **stocks** . By bringing OptiMark on as a part of
Nasdaq, the NASD will stifle competition presented...
...   blow to Instinet because both systems are geared toward providing
institutions with anonymous execution of **block   trades** . An Instinet
spokesman declined comment. Kevin Foley, manager of Bloomberg Tradebook,
·another ECN, did not...

...the spokesman said. OptiMark CEO Bill Lupien did not return calls
seeking comment.
        COPYRIGHT 1998 **Institutional   Investor** Inc.

 23/3,K/57   (Item 3 from file: 636)
DIALOG(R)File 636:Gale Group Newsletter DB(TM)
(c) 2004 The Gale Group. All rts. reserv.

02490826   Supplier Number: 44999509 (USE FORMAT 7 FOR FULLTEXT)
TRADEPOINT OPTS FOR ERICSSON X.25 PACKET SWITCHING AND BROADCAST FACILITIES .
M2 Presswire, pN/A
Sept 19, 1994
Language: English   Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 409

...   professional investment management and trading community. The

Tradepoint system aims to facilitate trading by enabling **participants** to enter **anonymous** orders to **buy** and **sell** **securities** and provide for the **automatic** matching of executed trades. It also allows for instant publication of trading volumes and prices...

23/3,K/58 **(Item 4 from file: 636)**
DIALOG(R)File 636:Gale Group Newsletter DB(TM)
(c) 2004 The Gale Group. All rts. reserv.

02165280   Supplier Number: 44065959 (USE FORMAT 7 FOR FULLTEXT)
**SPECIAL REPORT - Electronic Trade Confirmation: A Review of Progress Made
   to Date**
Financial Technology Insight, pN/A
Sept, 1993
Language: English   Record Type: Fulltext
Document Type: Newsletter; Trade
Word Count: 2049

...   ETC, however, what cannot be doubted is that the incentives for users are there, with **institutional** **investors** (e.g. life assurance companies, pensions companies and investment management organizations) and brokers benefiting in very definite and significant ways from the introduction of ETC.
     For **institutional** **investors** , ETC offers instantaneous, computer-based confirmation of the details of a trade, giving institutions the...

...by Thomson Financial Services largely in terms of its functions. These, according to Thomson, include:
     * **electronic** confirmation and contracting
     * **block** **trades**
     * **trade** allocations
     * global **security** numbering cross-reference database
     * built-in checks and balances
     * links to custodian banks
     * approved reporting...more accurate and up-to-date records, whether the front office is located within the **institutional** **investor** or the broker."
     * All ETC vendors are independent: "The three ETC vendors were selected because...

...as encouraging deeper UK penetration of ETC and the wider geographical spread of ETC to **institutional** **investors** and brokers around the world, and developing IVLs. Lambert is also very keen for ETC...

23/3,K/59 **(Item 5 from file: 636)**
DIALOG(R)File 636:Gale Group Newsletter DB(TM)
(c) 2004 The Gale Group. All rts. reserv.

01514670   Supplier Number: 42157481 (USE FORMAT 7 FOR FULLTEXT)
INSTINET MULLS NEW MORNING CROSS, PRICED ON NYSE WEIGHTED AVERAGE
Trading Systems Technology, v4, n24, pN/A
June 17, 1991
Language: English   Record Type: Fulltext
Document Type: Newsletter; Trade
Word Count: 710

...   Crossing Network plans.

Instinet's Crossing Network currently crosses five evenings a week
--allowing big **investors** to **anonymously** **buy** and **sell** **securities**
by **automatically** matching them through the system. The network currently
has about 350 users -- with an average...

23/3,K/60   (Item 1 from file: 625)
DIALOG(R)File 625:American Banker Publications
(c) 2004 American Banker. All rts. reserv.

0103037
A Glossary of Computer Technology Terms
American Banker - October 25, 1989; Pg. 10; Vol. 154, No. 209
WORD COUNT: 6,811

TEXT:
...printer that sprays characters onto a page
at high speed.
    Instinet: A computerized block trading **network** formed so institutions
can **buy** and **sell** **stock** **anonymously** among themselves without the
intermediation of a **broker** :
    integrated package: Software that combines on one disk several
functions that otherwise require separate programs...

23/3,K/61   (Item 2 from file: 625)
DIALOG(R)File 625:American Banker Publications
(c) 2004 American Banker. All rts. reserv.

0095333
GLOSSARY OF COMPUTER TECHNOLOGY TERMS
American Banker - February 1, 1989; Pg. 10; Vol. 154, No. 22
WORD COUNT: 6,408

TEXT:
...printer that sprays characters onto a page
at high speed.
    Instinet: A computerized block trading **network** formed so institutions
can **buy** and **sell** **stock** **anonymously** among themselves without the
intermediation of a **broker** .
    integrated package: Software that combines on one disk several
functions that otherwise require separate programs...

23/3,K/62   (Item 1 from file: 268)
DIALOG(R)File 268:Banking Info Source
(c) 2004 ProQuest Info&Learning. All rts. reserv.

00335726 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Australia keeps pace
Anonymous
ICB, v14, n2, p42-44, Mar/Apr 1998 DOCUMENT TYPE: Journal Article
ARTICLE TYPE: News LANGUAGE: English RECORD TYPE: Abstract Fulltext
WORD COUNT: 02498

  (USE FORMAT 7 OR 9 FOR FULLTEXT)
...   that bridges the gap between trading and settlement. It includes
activities such as allocating a " **block** " **trade** among registered holders
and the generation and delivery of the associated contract notes to the...

...the professional market with 80% or more of market capitalization
controlled by domestic and international **institutional** **investors** .
Market turnover is concentrated: the top 50 companies represent about 75%.
Trade processing is centralised...

...or conduct the order in the local market.

The trading of equities is via the **Stock** Exchange **Automated**
Trading System (Seats). This system is order- driven rather than
quote-driven as in many other...to execute the order to sell, transfer the
shares and pay the client promptly.

Most **institutional** **investors** maintain their securities in the
Reserve Bank's Austraclear depository and therefore will not be...

```
Set      Items     Description
S1           0     AU=(SHAW D? OR SHAW, D? OR KOSOFSKY, D? OR KOSOFSKY D?)
S2    12054703     TRADING OR TRANSACT? OR SELL? ? OR SELLING OR BUY? ? OR BU-
                   YING OR ORDER? OR TRADES OR TRADE
S3     9617611     SECURITIES OR SECURITY OR STOCK? ? OR BOND? ? OR FINANCIAL-
                   ()INSTRUMENT?
S4      508850     ANONYMOUS? OR UNKNOWN OR UNIDENTIF?
S5     1218975     ALERT? OR FLAG? OR TRIGGER?
S6     8305197     DEALER? OR BROKER? OR TRADER? OR USER? OR CUSTOMER OR CLIE-
                   NT? OR INVESTOR? OR PARTICIPANT?
S7      574330     S2(2N)S3
S8       34018     S7(5N)(COMPUTERI? OR AUTOMAT? OR ELECTRONIC? OR NETWORK? OR
                   ONLINE OR ON()LINE OR WEB? OR INTERNET? OR WWW)
S9         215     S8(20N)S5
S10      10555     S8(10N)S6
S11         34     S10(20N)S4
S12     171016     INSTITUTION?()INVESTOR?
S13       4847     BLOCK()TRADE? ?
S14          3     S8(2S)S12(2S)S13
S15        395     S8(S)(S12 OR S13)
S16         19     S15 AND S5
S17          2     S9(S)(BARGAIN? OR NEGOTIAT? OR HAGGL?)
S18         58     S11 OR S14 OR S16 OR S17
S19         40     S18 NOT PY>2000
S20         40     S19 NOT PD=20000926:20040224
S21         34     RD (unique items)
? show file
File  20:Dialog Global Reporter 1997-2004/Feb 24
         (c) 2004 The Dialog Corp.
File 476:Financial Times Fulltext 1982-2004/Feb 24
         (c) 2004 Financial Times Ltd
File 610:Business Wire 1999-2004/Feb 24
         (c) 2004 Business Wire.
File 613:PR Newswire 1999-2004/Feb 24
         (c) 2004 PR Newswire Association Inc
File 624:McGraw-Hill Publications 1985-2004/Feb 23
         (c) 2004 McGraw-Hill Co. Inc
File 634:San Jose Mercury  Jun 1985-2004/Feb 23
         (c) 2004 San Jose Mercury News
File 810:Business Wire 1986-1999/Feb 28
         (c) 1999 Business Wire
File 813:PR Newswire 1987-1999/Apr 30
         (c) 1999 PR Newswire Association Inc
File 626:Bond Buyer Full Text 1981-2004/Feb 24
         (c) 2004 Bond Buyer
File 267:Finance & Banking Newsletters 2004/Feb 23
         (c) 2004 The Dialog Corp.
```

21/3,K/1   (Item 1 from file: 20)
DIALOG(R)File   20:Dialog Global Reporter
(c) 2004 The Dialog Corp. All rts. reserv.

12624955 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Online trade hurts brokers
a staff reporter
HONG KONG IMAIL
August 31, 2000
JOURNAL CODE: WHKS   LANGUAGE: English   RECORD TYPE: FULLTEXT
WORD COUNT: 359

   (USE FORMAT 7 OR 9 FOR FULLTEXT)

     ONLINE securities trading has **triggered** a slide in broker commission
fees in Asia, said panelists at a Credit Suisse First...
...   CSFBNext, a CSFB unit set up to cater online trading for
institutional investors. US-based **online   securities   trading** guru, T D
Waterhouse Group's managing director for Asia, Karen .Buck, said that
investors...

 21/3,K/2   (Item 2 from file: 20)
DIALOG(R)File   20:Dialog Global Reporter
(c) 2004 The Dialog Corp. All rts. reserv.

12396534 (USE FORMAT 7 OR 9 FOR FULLTEXT)
**OPENTRADE: Italy's largest banking group chooses OpenTrade's Orbita.for
   real time e trading**
M2 PRESSWIRE
June 30, 2000
JOURNAL CODE: WMPR   LANGUAGE: English   RECORD TYPE: FULLTEXT·
WORD COUNT: 738

   (USE FORMAT 7 OR 9 FOR FULLTEXT)

 ...   group, has chosen Orbita middleware from OpenTrade as the
intelligent digital backbone of its new **flagship** , Internet-based, retail
e-trading service, IntesaTrade.
     Gruppo Intesa is investing a total of some...

 ... and other investor decision support tools which up until now have been
available only to **institutional   investors** .
     Key requirements of the IntesaTrade Web Site are the highest possible
level of security and...

 ...display information in real-time.
     Because OpenTrade is dedicated to Open standards, its cutting-edge
 flagship product, Orbita, works across the widest variety of. platforms to
provide industrial strength, business-oriented...

 21/3,K/3   (Item 3 from file: 20)
DIALOG(R)File   20:Dialog Global Reporter
(c) 2004 The Dialog Corp. All rts. reserv.

12073474
Former Goldman Sachs partner aiming at 'finance for the pu
YOMIURI SHIMBUN/DAILY YOMIURI
July 25, 2000

JOURNAL CODE: FYOM   LANGUAGE: English   RECORD TYPE: FULLTEXT
WORD COUNT: 1532

    ... we will make more money doing so. But I believe an individual is a
unit. **Institutional   investors**   can only invest money because private
investors entrust them with it. So power lies with...of 1,000 yen, compared
to the 15,000 yen offered by other firms. This **triggered** a competition to
lower online transaction fees. You also offered the lowest investment trust
transaction...

...reform this aspect of the market. So, in this regard, do you think Monex
will **trigger** a revolution? Well, we hope so.

   21/3,K/4   (Item 4 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter

11347549 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Traded Options: Traditional values - The FTSE 100 is being infiltrated by
INVESTORS CHRONICLE, p49
March 03, 2000
JOURNAL CODE: FIC   LANGUAGE: English   RECORD TYPE: FULLTEXT
WORD COUNT: 486

   (USE FORMAT 7 OR 9 FOR FULLTEXT)

    ... down their holdings in traditional companies. Most of the cash
released has been used to **buy   stocks** in technology, media, the
internet   and telecommunications. There are now some 20 stocks in the
index that fall into those...
...   not at the low points yet, although as always with traded options,
we must remain **alert** to sudden changes of fashion.
    Next we go to Vodafone AirTouch (362p), which continues to...

   21/3,K/5   (Item 5 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter

10228528 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Kansas City, Mo.-Based Mutual-Fund Firm Creates New-Business Vehicle
Mark Davis
KRTBN KNIGHT-RIDDER TRIBUNE BUSINESS NEWS (KANSAS CITY STAR - MISSOURI)
March 24, 2000
JOURNAL CODE: KKCS   LANGUAGE: English   RECORD TYPE: FULLTEXT
WORD COUNT: 681

   (USE FORMAT 7 OR 9 FOR FULLTEXT)

...   and Optimark Technologies in New Jersey, an online trading system
for large block trades among **institutional   investors** .
    Those investments have been added to American Century Ventures, but
aren't included in the...

   21/3,K/6   (Item 6 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter

09938006 (USE FORMAT 7 OR 9 FOR FULLTEXT)
St. Louis-Based Stock Brokerage Aims for Long-Term Investment Stability
Steven Oberbeck
KRTBN KNIGHT-RIDDER TRIBUNE BUSINESS NEWS   (SALT LAKE TRIBUNE - UTAH)
March 05, 2000
JOURNAL CODE: KSLT   LANGUAGE: English   RECORD TYPE: FULLTEXT
WORD COUNT: 723

   (USE FORMAT 7 OR 9 FOR FULLTEXT)

...   rage.
    "We do not cater to stock traders, institutional investors or those
who want to **buy**   or   **sell**   **stocks** over the **Internet** ," said James
Bachman, the company's managing partner. "That has never been our focus."
    Edward...

...a client in a mutual fund and take them out three years later, the red
 flags would be going up all the way to St. Louis," Arnold said. "The head
office...

 21/3,K/7   **(Item 7 from file: 20)**
DIALOG(R)File 20:Dialog Global Reporter
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09149844 (USE FORMAT 7 OR 9 FOR FULLTEXT)
**Finance and Economics: E-bonds, licensed to kill: Electronics and the bond
   markets: Does the Internet sound the death-knell for the traditional
   bond market?**
ECONOMIST
January 15, 2000
JOURNAL CODE: FECN   LANGUAGE: English   RECORD TYPE: FULLTEXT
WORD COUNT: 1293

   (USE FORMAT 7 OR 9 FOR FULLTEXT)

...   under the auspices of the Boston Stock Exchange. Institutions will
be able to put large **block** - **trade** orders into the system safe in the
knowledge that no information about their intentions will...an economist at
the Council on Foreign Relations. However, it will depend on how willing
 institutional   **investors** are to abandon their old ways and cosy
relationships. Nobody doubts that electronic trading has...

 21/3,K/8   **(Item 8 from file: 20)**
DIALOG(R)File 20:Dialog Global Reporter
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08147202 (USE FORMAT 7 OR 9 FOR FULLTEXT)
**Bond Market Association Survey Finds 39 Electronic Trading Systems Serving
   Institutional Fixed-Income Market; 50 Percent Increase From One Year Ago**
PR NEWSWIRE
November 09, 1999
JOURNAL CODE: WPRW   LANGUAGE: English   RECORD TYPE: FULLTEXT
WORD COUNT: 745

   (USE FORMAT 7 OR 9 FOR FULLTEXT)

...   of interdealer brokers have introduced or plan to introduce

electronic transaction systems that will allow **dealers** **anonymously** to execute **transactions** in **securities** through proprietary **networks** . Most of these systems are targeting the U.S. Treasury securities market, but can be...

21/3,K/9 (Item 9 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
(c) 2004 The Dialog Corp. All rts. reserv.

06907123 (USE FORMAT 7 OR 9 FOR FULLTEXT)
i-- **money** **Customers** **To** **Link Directly Through To E-Trade Canada In Online**
    Strategic Alliance
CANADIAN CORPORATE NEWS
August 25, 1999
JOURNAL CODE: WCCN LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 683

   (USE FORMAT 7 OR 9 FOR FULLTEXT)

      ... have accounts with E-TRADE Canada will be able to move seamlessly from receiving an **alert** , reviewing their portfolio, and making stock or mutual fund decisions, to placing an order with...
      ... and provides access to electronic securities trading services and related products for both retail and **institutional** **investors** through its electronic trading network.
      VERSUS' retail business is marketed exclusively in Canada under the...

21/3,K/10 (Item 10 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
(c) 2004 The Dialog Corp. All rts. reserv.

06826780
Netiquette
FINANCIAL POST, p04
August 21, 1999
JOURNAL CODE: FFP LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 200

      Help is on the way for day **traders** who can't curb their **stock** -
   trading addiction. "The thing about the **Internet** is that it is so easy and so accessible and so **anonymous** ," says David Greenfield, a Connecticut psychiatrist whose book, Virtual Addiction: Help for Netheads, Cyberfreaks and...

21/3,K/11 (Item 11 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
(c) 2004 The Dialog Corp. All rts. reserv.

06817685
Odd Lots
FINANCIAL POST, p08
August 20, 1999
JOURNAL CODE: FFP LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 201

      ...authenticated access controls are abundant in many areas."
      - Help is on the way for day **traders** who can't curb their **stock** -

trading addiction. "The thing about the **Internet** is that it is so easy and so accessible and so **anonymous** ," says David Greenfield, a Connecticut psychiatrist whose book, Virtual Addiction: Help for Netheads, Cyberfreaks and...

21/3,K/12   (Item 12 from file: 20)
DIALOG(R)File   20:Dialog Global Reporter
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04850560 (USE FORMAT 7 OR 9 FOR FULLTEXT)
As Online Trading Grows, So Do Problems
Bill Deener
KRTBN KNIGHT-RIDDER TRIBUNE BUSINESS NEWS   (DALLAS MORNING NEWS - TEXAS)
April 03, 1999
JOURNAL CODE: KDMN   LANGUAGE: English   RECORD TYPE: FULLTEXT
WORD COUNT: 1613

   (USE FORMAT 7 OR 9 FOR FULLTEXT)

   ...   online brokerages is that the allure of low commissions and fast trades has transformed some **investors** into day-trading speculators, who often **trade** on **stock** tips posted **anonymously** on **Internet** bulletin boards.
      "The level of speculation has risen dramatically," according to a recent report by...

21/3,K/13   (Item 13 from file: 20)
DIALOG(R)File   20:Dialog Global Reporter
(c) 2004 The Dialog Corp. All rts. reserv.

04806360 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Trading Edge Installs 200th Seat On New Bondlink Service; The Countdown   Continues for Live High Yield Bond Trading on April 15th
BUSINESS WIRE
March 30, 1999
JOURNAL CODE: WBWE   LANGUAGE: English   RECORD TYPE: FULLTEXT
WORD COUNT: 388

      ...broker, today announced the company has installed its 200th seat on BondLink(TM), the first **anonymous** , secure, real-time service for **trading** high yield **bonds** via· the **Internet** . Trading Edge anticipates approaching 300 installed **users** by April 15th, the day it launches the BondLink service.
      BondLink is a virtual meeting...

21/3,K/14   (Item 14 from file: 20)
DIALOG(R)File   20:Dialog Global Reporter
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04636598 (USE FORMAT 7 OR 9 FOR FULLTEXT)
VERSUS Technologies Inc., Parent Company of E*TRADE Canada, Completes   Initial Public Offering of Common Shares
PR NEWSWIRE
March 15, 1999
JOURNAL CODE: WPRW   LANGUAGE: English   RECORD TYPE: FULLTEXT
WORD COUNT: 1076

(USE FORMAT 7 OR 9 FOR FULLTEXT)

...   and provides access to electronic securities trading services and related products for both retail and **institutional investors** through its electronic trading network.
     "We selected VERSUS as our Canadian partner largely because of...

... products and services that can be personalized, including portfolio tracking, real-time stock quotes, Smart **Alerts** , market commentary and analysis, news, investor community areas and other information services. E*TRADE was...

 21/3,K/15   (Item 15 from file: 20)
DIALOG(R)File   20:Dialog Global Reporter
(c) 2004 The Dialog Corp. All rts. reserv.

04422542 (USE FORMAT 7 OR 9 FOR FULLTEXT)
**Digex Selected by Standard & Poor's to Provide Web Hosting Solutions;
   LIMITrader Securities, Inc. Also Realizes Benefits of Digex Financial
   Solutions Group**
BUSINESS WIRE
February 23, 1999
JOURNAL CODE: WBWE   LANGUAGE: English   RECORD TYPE: FULLTEXT
WORD COUNT: 950

   (USE FORMAT 7 OR 9 FOR FULLTEXT)

...   test next month, will deliver the first electronic trading transaction environment for corporate bonds where **investors** meet **anonymously** and negotiate online. The LIMITrader system fully **automates** the **bond trading** process, matching buyers and sellers based on their preset criteria and notifying them of interested...

 21/3,K/16   (Item 1 from file: 476)
DIALOG(R)File 476:Financial Times Fulltext
(c) 2004 Financial Times Ltd. All rts. reserv.

0010553115 A20000810356-87-FT
**COMPANIES & FINANCE: THE AMERICAS: Salomon joins electronic bond trading
   system**
JOSHUA CHAFFIN
Financial Times, London Ed1 ED, P 24
Thursday, August 10, 2000
DOCUMENT TYPE: NEWSPAPER; Stories LANGUAGE: ENGLISH   RECORD TYPE:
FULLTEXT SECTION HEADING: COMPANIES & FINANCE: THE AMERICAS
Word Count: 292

...saying that it would increase transparency and liquidity and lower prices for corporate and municipal **bonds** .

 The **electronic trading** system, to go live during the fourth quarter, will allow **dealers** and institutional customers to trade bonds on an **anonymous** basis.

 21/3,K/17   (Item 2 from file: 476)
DIALOG(R)File 476:Financial Times Fulltext
(c) 2004 Financial Times Ltd. All rts. reserv.

0004501660 B08F3BOAAXFT
UK Company News: Germans Act On Automatic Sell And Buy Orders
Our Financial Staff
Financial Times, P 27
Wednesday, June 22, 1988
DOCUMENT TYPE: NEWSPAPER   LANGUAGE: ENGLISH   RECORD TYPE: FULLTEXT
Word Count: 156

TEXT:
West Germany's stock exchanges are likely to permit **institutional
investors** the use of **automatic** sell and **buy** **orders** in **stock
trading** as of 1989.

The advisory council to the Association of German Stock Exchanges has
recommended...

...said.

Stop-loss orders have been barred in the past on fears that they could
trigger excessive price fluctuations in either direction.

The instrumentes will be limited to variable trading used...

 21/3,K/18   (Item 1 from file: 610)
DIALOG(R)File 610:Business Wire
(c) 2004 Business Wire. All rts. reserv.

00095026 19990825237B0122   (USE FORMAT 7 FOR FULLTEXT)
**i5/8money Customers To Link Directly Through To E-Trade Canada In Online
Strategic Alliance**
Business Wire
Wednesday, August 25, 1999 09:24 EDT
JOURNAL CODE: BW LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT
DOCUMENT TYPE: NEWSWIRE
WORD COUNT: 772

TEXT:
...have
accounts with E-TRADE Canada will be able to move seamlessly from
receiving an **alert** , reviewing their portfolio, and making stock or
mutual fund decisions, to placing an order with...

...together with its wholly-owned subsidiary VERSUS Brokerage Services
Inc., is a leading provider of **electronic** **securities** **trading** services
to the Canadian marketplace. VERSUS develops, distributes and provides
access to **electronic** **securities** **trading** services and related products
for both retail and **institutional** **investors** through its electronic
trading network.

VERSUS' retail business is marketed exclusively in Canada under the...

 21/3,K/19   (Item 1 from file: 613)
DIALOG(R)File 613:PR Newswire
(c) 2004 PR Newswire Association Inc. All rts. reserv.

00203249 19991027LAW040   (USE FORMAT 7 FOR FULLTEXT)
ExperTelligence, Inc. Subsidiary Announces Partnership with Island ECN

3DStockCharts.com Provides Live 3D Charts of Island Streaming Limit Order Book
PR Newswire
Wednesday, October 27, 1999 09:30 EDT
JOURNAL CODE: PR LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT
DOCUMENT TYPE: NEWSWIRE
WORD COUNT: 682

...ECN, Inc. is an electronic order-matching system that gives
brokerage firms the power to **electronically** display and match **stock
orders** for
retail and **institutional**   **investors** . Brokerage firms leverage Island's
speed,
reliability and efficiency for the ultimate benefit of the...

...in the development and
hosting of Web/Database and Electronic Commerce application solutions using
its **flagship** products WebBase and ExperForms.
    ExperTelligence, Inc. 25 E. Ortega Street Santa Barbara, CA 93101. Tel
...

 21/3,K/20   (Item 1 from file: 624)
DIALOG(R)File 624:McGraw-Hill Publications
(c) 2004 McGraw-Hill Co. Inc. All rts. reserv.

01050566
**THE E-BOND REVOLUTION: How the Internet is reshaping the world's largest
    financial market**
Business Week November 15, 1999; Pg 270; Number 3655
Journal Code: BW   ISSN: 0007-7135
Section Heading: Special Report: THE NEW FINANCE
Word Count: 2,636   *Full text available in Formats 5, 7 and 9*

BYLINE:
By Toddi Gutner in New York

SPECIAL FEATURE:
Illustration: Graphic: **Participants   anonymously** send bids on new **bonds
    electronically** . **Orders**   are   then   aggregated and executed at a
previously specified time.
ALAN LEVENSON; GRAPHICS BY LAUREL...

 21/3,K/21   (Item 2 from file: 624)
DIALOG(R)File 624:McGraw-Hill Publications
(c) 2004 McGraw-Hill Co. Inc. All rts. reserv.

00991196
**ONLINE FIRMS BEGINNING TO PROVIDE RETAIL INVESTORS WITH OPTION TO DIRECT
    ORDERS**
Securities Week January 18, 1999; Pg 5; Vol. 26, No. 3
Journal Code: SW   ISSN: 0149-3582
Section Heading: SPECIAL SECTION: SECURITIES INDUSTRY INTERNET UPDATE
Word Count: 770   *Full text available in Formats 5, 7 and 9*

BYLINE:
BT

TEXT:

... placed and where they believe they will receive the best and fairest
pricing.
    Previously, and **unknown** to the majority of retail **investors**, **orders**
for specific **securities** entered into **online** systems have
automatically been directed to pre-determined wholesalers, electronic
communication networks and third-market firms with whom...

21/3,K/22   (Item 3 from file: 624)
DIALOG(R)File 624:McGraw-Hill Publications
(c) 2004 McGraw-Hill Co. Inc. All rts. reserv.

00899793
TRADEPOINT FILES WITH SEC TO ALLOW
Securities Week   November 3, 1997; Pg 1; Vol. 24, No. 44
Journal Code: SW   ISSN: 0149-3582
Word Count: 299   *Full text available in Formats 5, 7 and 9*

BYLINE:
HW

TEXT:
... trading volume has been quite small on the electronic market that
facilitates trading by enabling **participants** to enter **anonymous** orders
to **buy** and **sell** **securities** and that provides for **automatic**
matching.
    But he said ``there is a strong indication'' that a number of U.S...

21/3,K/23   (Item 4 from file: 624)
DIALOG(R)File 624:McGraw-Hill Publications
(c) 2004 McGraw-Hill Co. Inc. All rts. reserv.

0703364
NEW ELECTRONIC STOCK EXCHANGE BEGINS OPERATING IN LONDON
Securities Week   September 25, 1995; Pg 1; Vol. 22, No. 37
Journal Code: SW   ISSN: 0149-3582
Word Count: 561   *Full text available in Formats 5, 7 and 9*

BYLINE:
HW

TEXT:
...with each other from their own personal computers.

    It aims to facilitate trading by enabling **participants** to enter
anonymously orders to **buy** and **sell** **securities** and provide for the
automatic matching of executed trades. It also allows for instant
publication of trading volumes and prices...

21/3,K/24   (Item 5 from file: 624)
DIALOG(R)File 624:McGraw-Hill Publications
(c) 2004 McGraw-Hill Co. Inc. All rts. reserv.

0239433
**THE NASD: A COMPUTERIZED MOUSE THAT'S ROARING: Now it's planning to cast
    its electronic trading net around more companies in the U.S. and
    overseas**
Business Week   September 17, 1990; Pg 128; Number 3178

BYLINE:
Dean Foust in Washington and David Zigas in New York

TEXT:
...   significant   trading   in   pink-sheet   stocks.   Aided   by
artificial-intelligence software programs, the NASD was **alerted** in 1988
to suspicious trades at one of the biggest penny-stock firms, Denver-based
...

TABLE:
...stocks by computer
that used to be in the pink sheets   6/1/90
PORTAL
  Institutional   investors can trade
privately offered securities   6/15/90
LINKAGE WITH LONDON EXCHANGE
 Before-hours trading of NASDAQ and
listed stocks   12/31/90
JUNK- **BOND   TRADING** SYSTEM
 Computer **network** for buying and
 selling junk **bonds**   Under
                                          development
DATA: KNIGHT-RIDDER TRADECENTER, NASD, NYSE

 21/3,K/25   (Item 1 from file: 634)
DIALOG(R)File 634:San Jose Mercury
(c) 2004 San Jose Mercury News. All rts. reserv.

10058123
**N.Y. EXCHANGE EYES TECH STOCKS ALLIANCE POSSIBLE WITH ELECTRONIC TRADING
  NETWORK**
San Jose Mercury News (SJ) - Saturday, February 27, 1999
By: SCOTT HERHOLD, Mercury News Staff Writer
Edition: Morning Final Section: Business Page: 1C
Word Count: 851

... the volume on the Nasdaq exchange has surpassed that of the Big Board.
Meanwhile, the **electronic   stock - trading   networks** , which allow
 investors to buy and sell shares **anonymously** , accounted for 28 percent
of all Nasdaq trades in 1998, up from about 24 percent...

 21/3,K/26   (Item 2 from file: 634)
DIALOG(R)File 634:San Jose Mercury
(c) 2004 San Jose Mercury News. All rts. reserv.

06302049
**THE MALADJUSTED MARKET BIG BOARD'S FUTURE IS THREATENED AS SMALLER
  COMPETITORS MODERNIZE TRADING**
San Jose Mercury News (SJ) - Monday, October 28, 1991
By: STEVE KAUFMAN, Mercury News Economics Writer
Edition: Morning Final Section: Business Monday Page: 1D
Word Count: 1,414

...annually since 1986, now averages 8 million shares a day.

(check) Growing competition for the **trading** of NYSE **stocks** from
electronic networks like Instinet, which allow big institutional
traders such as pension funds to trade stocks **anonymously** and when the
exchange is closed -- sometimes at much lower prices. The Instinet Real
Time...

21/3,K/27   (Item 1 from file: 626)
DIALOG(R)File 626:Bond Buyer Full Text
(c) 2004 Bond Buyer. All rts. reserv.

0227768
E-Trading Platforms Proliferate, But How Many Will Survive?
The Bond Buyer - September 21, 2000; Pg. 1; Vol. 333, No. 30980
Word Count: 1,061

BYLINE:
By Sheri Carpenter-Kasprzak

TEXT:
...the survey said, have introduced
or plan to introduce electronic transaction systems that will allow
dealers
to **anonymously** execute **transactions** in **securities** through proprietary
networks .

    Multi- **dealer** systems, or systems that provide customers with
consolidated orders from two or more dealers as...

21/3,K/28   (Item 2 from file: 626)
DIALOG(R)File 626:Bond Buyer Full Text
(c) 2004 Bond Buyer. All rts. reserv.

0225139
Market Axess Throws Its Hat Into the Electronic Trading Ring
The Bond Buyer - June 27, 2000; Pg. 1; Vol. 332, No. 30921
Word Count: 1,059

BYLINE:
By Darrell Preston

TEXT:
As **online** **bond** - **trading** platforms proliferate, it is becoming
clear that the many services' drive to differentiate themselves means...

...Market Axess, which is scheduled to go live next
month with a platform targeting large- **block** **trades** of a wide variety of
fixed-income securities between and among broker-dealers and **institutional**
investors , has announced that it will reveal the identities of all
sellers
and buyers on its...

...bringing a multi-dealer approach to providing price and inventory
information along with research to **institutional** **investors** , according
to
Richard McVey, chief executive officer of Market Axess.

    "In many cases what you...

Bode Akintola24-Feb-04

21/3,K/29   (Item 3 from file: 626)
DIALOG(R)File 626:Bond Buyer Full Text
(c) 2004 Bond Buyer. All rts. reserv.

0215965
With the Click of a Mouse, MBIA Provides Insurance Over the Internet
The Bond Buyer - August 12, 1999; Pg. 44; Vol. 329, No. 30703
Word Count: 386

BYLINE:
By Kenneth Heaton

TEXT:
...Murray L. Finebaum, chairman and chief executive officer of Trading
Edge, a fixed-income securities **broker** , created BondLink as an **anonymous**
,
secure, real-time service for **trading** **bonds** over the **Internet** . Before
leading Trading Edge, Finebaum was president and CEO of Instinet Corp., an
electronic brokerage...

21/3,K/30   (Item 4 from file: 626)
DIALOG(R)File 626:Bond Buyer Full Text
(c) 2004 Bond Buyer. All rts. reserv.

0204257
Trading Systems: Cantor, CBOT Spar Over Proposed Futures Exchange
The Bond Buyer - August 5, 1998; Pg. 34; Vol. 325, No. 30450
Word Count: 945

BYLINE:
By Robert Whalen

TEXT:
...LP's proprietary network, will match bids
wanted with bids offered in a real-time, **anonymous** environment, said
Cantor
spokeswoman Debra Walton.

    The system is already being used by a small group of **broker - dealers**
,
although further details were not yet available, Walton said.

        Electronic secondary **trading** of municipal **bonds** has been viewed
by many
market **participants** as the next logical step in the technological
evolution
of the public finance industry. And...

21/3,K/31   (Item 1 from file: 267)
DIALOG(R)File 267:Finance & Banking Newsletters
(c) 2004 The Dialog Corp. All rts. reserv.

04570565
Short Takes
Editorial Staff
Web Finance

September 4,2000 DOCUMENT TYPE: NEWSLETTER
PUBLISHER: SECURITIES DATA PUBLISHING
LANGUAGE: ENGLISH   WORD COUNT: 1365   RECORD TYPE: FULLTEXT

TEXT:
...income issues are analyzed for callability, type, regional exposure,
credit quality and maturity. Clients are **alerted** when any issue does not
match Morgan's recommendations.
   Additional features incorporated into Morgan OnLine include e-mail
alerts when portfolio value changes and reminders to carry out
time-sensitive recommendations, life and disability...a statement.
   BuySideDirect Launches
   Convertible Bond Trading System
   Intelligent Markets, Inc., launched its BuySideDirect convertible **bond
trading** system (see **WebFinance** , 7/17/00). BuySideDirect's Internet-based
platform provides automated contingent order execution through proprietary
...

...they began mock trading on the system.
   According to the company, the BuySideDirect system offers **institutional
investors** a number of features. It offers single marketplace for swap
orders, an enhanced price discovery...

21/3,K/32   (Item 2 from file: 267)
DIALOG(R)File 267:Finance & Banking Newsletters
(c) 2004 The Dialog Corp. All rts. reserv.

04560282
**Closer Look - Friess Framed: The Brandywine Fund manager, whose philosophy
made him miss the tech stock surge, says his approach is about to pay off
in a big wayat last.**
Alan Lavine
Annuity Market News
January 1,2000   DOCUMENT TYPE: NEWSLETTER
PUBLISHER: SECURITIES DATA PUBLISHING
LANGUAGE: ENGLISH   WORD COUNT: 1452   RECORD TYPE: FULLTEXT

TEXT:
...the Brandywine Fund ran into problems when the Asian markets collapsed
in 1997. The collapse **triggered** weak earnings globally. In response,
Friess moved into cash. Going into 1998, 75% of the...was going into
large-company stocks because of the Asian crisis," Friess says. "Individual
and **institutional investors** were chasing momentum and Internet stocks
with no earnings. We have a strict investment P...

...stock that is growing earnings at 30% annually, but he is quick to pull
the **trigger** if his earnings estimates are lower than the previous
quarter's numbers.
   That didn't do much good in markets where **Internet** initial public
offerings and growth **stocks** were **trading** at stratospheric P/E multiples
and kept right on rising. "Last year, the price- and...

21/3,K/33   (Item 3 from file: 267)
DIALOG(R)File 267:Finance & Banking Newsletters

04548783
Technology Changing Market Place
Staff Reports
Investor Relations Business
April 26,1999   DOCUMENT TYPE: NEWSLETTER
PUBLISHER: SECURITIES DATA PUBLISHING
LANGUAGE: ENGLISH   WORD COUNT: 600   RECORD TYPE: FULLTEXT

TEXT:
...one of more than 100 brokers. Over 30% of the volume in Nasdaq and NYSE
stocks results from **trades** over the **Internet** . And nearly 37% of all
individual investors' trades are entered online, up from 17% in...

...for movements in prices of individual stocks or news about particular
securities and send an **alert** to an individual investor," said Unger.
  The ability to receive information almost instantaneously has fueled...

...page could include a quote tracker tracking the investor's 10 favorite
stocks, or set **alerts** to sound upon issuance of a new research report,
news about a stock or whenever...

...would allow companies to use the Internet to broadcast their roadshows
to both retail and **institutional   investors** , to hold chat room
discussions about their offerings and to use electronic mail to answer...

 21/3,K/34   (Item 4 from file: 267)
DIALOG(R)File 267:Finance & Banking Newsletters

04543583
Nations leaves syndicate fuming in block deal
Brian Garrity
Investment Dealers Digest
December 14,1998   DOCUMENT TYPE: NEWSLETTER
PUBLISHER: SECURITIES DATA PUBLISHING
LANGUAGE: ENGLISH   WORD COUNT: 511   RECORD TYPE: FULLTEXT

...Stanley Dean Witter, all slated to serve as co-managers in the deal,
were not **alerted** to the shift in Montgomery strategy until after the deal
priced.
...

TEXT:
...million share secondary stock offering for Flextronics International
Ltd. and sell the deal as a **block   trade** instead came as a surprise to
the transaction's three heavyweight co-managers, who were...

...Stanley Dean Witter, all slated to serve as co-managers in the deal,
were not **alerted** to the shift in Montgomery strategy until after the deal
priced.
  "The deal just vanished...

...7 million shares, while another

1 million shares were sold by subsidiaries of Royal Philips **Electronics**
. The **stock** was **trading** at $71.25 as of press time.
Sources familiar with the transaction called the timing...

```
Set      Items    Description
S1        301     AU=(SHAW D? OR SHAW, D? OR KOSOFSKY, D? OR KOSOFSKY D?)
S2     683495     TRADING OR TRANSACT? OR SELL? ? OR SELLING OR BUY? ? OR BU-
                  YING OR ORDER? OR TRADES OR TRADE
S3     445723     SECURITIES OR SECURITY OR STOCK? ? OR BOND? ? OR FINANCIAL-
                  ()INSTRUMENT?
S4      14440     ANONYMOUS? OR UNKNOWN OR UNIDENTIF?
S5    2424430     ALERT? OR WARN? OR SIGNAL? OR FLAG? OR TRIGGER?
S6     541404     DEALER? OR BROKER? OR TRADER? OR USER? OR CUSTOMER OR CLIE-
                  NT? OR INVESTOR? OR PARTICIPANT?
S7    3483780     COMPUTERI? OR AUTOMAT? OR ELECTRONIC? OR NETWORK? OR ONLINE
                  OR ON()LINE OR WEB? OR INTERNET? OR WWW
S8       1904     S2(10N)S3(10N)S7
S9         91     S8 AND S5 AND S6
S10        28     S8 AND S4
S11         3     S1 AND S8
S12        63     (S9 OR S10 OR S11) AND IC=G06F-017/60
? show file
File 344:Chinese Patents Abs Aug 1985-2003/Nov
        (c) 2003 European Patent Office
File 347:JAPIO Oct 1976-2003/Oct(Updated 040202)
        (c) 2004 JPO & JAPIO
File 350:Derwent WPIX 1963-2004/UD,UM &UP=200412
        (c) 2004  Thomson Derwent
File 371:French Patents 1961-2002/BOPI 200209
        (c) 2002 INPI.  All rts. reserv.
```

12/5/1   (Item 1 from file: 347)
DIALOG(R)File 347:JAPIO
(c) 2004 JPO & JAPIO. All rts. reserv.

07483563   **Image available**
SYSTEM FOR MANAGING SETTLEMENT

PUB. NO.:   2002-352081 [JP 2002352081 A]
PUBLISHED: December 06, 2002 (20021206)
INVENTOR(s):   IESHIMA KENJI
               FUTAKI SEIJI
APPLICANT(s): HITACHI LTD
APPL. NO.:   2001-160993 [JP 20011160993]
FILED: May 29, 2001 (20010529)
INTL CLASS: **G06F-017/60**

ABSTRACT

PROBLEM TO BE SOLVED: To perform a security transaction while avoiding
failure by previously detecting the fear of settlement impossible
(failure).

SOLUTION: A takeover trading with the fear of not completing till a
transaction time limit is extracted by balance information by brand and
individual settlement information and a **user** is **warned** . Brand and a
face amount required at this side are reported to a **customer** with system
linkage and rapid establishment is supported concerning the **transaction** .
Moreover, the margin of the **securities** at the opposite side with linkage
is read and, then, a **selling transaction** is **automatically** generated
in the system of the **customer** with a margin, a takeover trading is in the
system at this side so that the rapid performance of the transaction is
supported.

12/5/2   (Item 2 from file: 347)
DIALOG(R)File 347:JAPIO
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07429391   **Image available**
COMPUTER VOICE **SECURITIES**   **TRANSACTION** AND **ON - LINE** INVESTIGATION
SYSTEM

PUB. NO.:   2002-297901 [JP 2002297901 A]
PUBLISHED: October 11, 2002 (20021011)
INVENTOR(s):   KYU KOTETSU
APPLICANT(s): SANTIKU SHIJIN KOFUN YUGENKOSHI
APPL. NO.:   2001-085655 [JP 20011085655]
FILED: March 23, 2001 (20010323)
INTL CLASS: **G06F-017/60** ; G06F-003/16

ABSTRACT

PROBLEM TO BE SOLVED: To provide a computer voice **securities   transaction**
and an **on - line** investigation system.

SOLUTION: This system has a step for forming the basis of a value
investigation and an **automatic** written request inspection of a **user** by
directly receiving instant price information from a **securities
transaction** institution or the other information source, a step for
operating the system by a double tone multifrequency **signal** generated on

the basis of push of telephone buttons by a remote **user** by connecting an external telephone line of multiports, a step for broadcasting voice to the remote **user** by reading the newest price numerical value preserved in an instant price database, and converting the price numerical value into a corresponding voice defining file, and a step for instantly investigating securities transactions or individual account information by being connected to a control system of the transactions and the account information of respective stock companies via a transaction sub-system after the remote **user** acquires the instant piece information.

12/5/3   (Item 3 from file: 347)
DIALOG(R)File 347:JAPIO
(c) 2004 JPO & JAPIO. All rts. reserv.

07368331   **Image available**
ELECTRONIC COMMERCE SYSTEM OF STOCK

PUB. NO.:   2002-236828 [JP 2002236828 A]
PUBLISHED: August 23, 2002 (20020823)
INVENTOR(s):   SUMI SHIGEJI
APPLICANT(s): SUMI SHIGEJI
APPL. NO.:   2001-035195 [JP 20011035195]
FILED: February 13, 2001 (20010213)
INTL CLASS: **G06F-017/60**

ABSTRACT
PROBLEM TO BE SOLVED: To solve problems of having risk of causing an error in an amount and quantity even ten times by erroneous input of one character, and increasing risk of causing an erroneous order by the erroneous input due to **computerization** and **automatic** control while bringing about facilities capable of placing an **order** anytime for almost 24 hours for an **investor** , and requiring no manpower for a **security** company in **electronic** commerce of **stocks** via the **Internet** .

SOLUTION: A page is arranged for allowing the **investor** to set restrictions of the **order** by the self-setting. This system can correct the error by displaying a **warning** when inputting the order falling wide of the restriction of the self- setting by the erroneous input.

12/5/4   (Item 4 from file: 347)
DIALOG(R)File 347:JAPIO
(c) 2004 JPO & JAPIO. All rts. reserv.

07146756   **Image available**
DOCUMENT READING SERVER FOR SECURITIES TRANSACTION, AND DEVICE AND METHOD FOR SECURITIES TRANSACTION

PUB. NO.:   2002-015135 [JP 2002015135 A]
PUBLISHED: January 18, 2002 (20020118)
INVENTOR(s):   NODA KOJI
APPLICANT(s): NODA KOJI
APPL. NO.:   2000-197696 [JP 2000197696]
FILED: June 30, 2000 (20000630)
INTL CLASS: **G06F-017/60** ; G06F-013/00

ABSTRACT
PROBLEM TO BE SOLVED: To enable a **securities** company to learn that an **orderer** has confirmed contract contents.

SOLUTION: A mail transmitting **client** 105 of a **transaction** center 10 transmits a contract notice mail to the portable telephone set 20 having a mail **Web** reading function of the orderer. The orderer performs authentication, subsequently requests a Web server 101 for contract collation Web page reading, selects an option for Web page contract confirmation notice and transfers the URL of a confirmation processing program 120 and a transaction number to the server 101. The program 120 erects a confirmation **flag** in the confirmation field of a transaction database 110.

12/5/5   (Item 5 from file: 347)

07015762   **Image available**
ELECTRONIC COMMERCIAL TRANSACTION METHOD AND PORTABLE TERMINAL FOR DEALING WITH ELECTRONIC COMMERCIAL TRANSACTION

PUB. NO.:   2001-243392 [JP 2001243392 A]
PUBLISHED: September 07, 2001 (20010907)
INVENTOR(s): KAJITA MIKIHIRO
APPLICANT(s): NEC CORP
APPL. NO.:   2000-052635 [JP 200052635]
FILED: February 29, 2000 (20000229)
INTL CLASS: **G06F-017/60** ; G07G-001/12

ABSTRACT
PROBLEM TO BE SOLVED: To sufficiently keep **security** by adopting a personal authentication based on authentication information by enabling a **customer** to unitarily provide an **electronic** commercial **transaction** with a portable terminal.

SOLUTION: In steps 101 and 110, the **customer** pulls out a required amount (amount information) in the state of electronic information from a bank via the Internet to an IC memory for management inside his/her own portable terminal. In steps 102 and 103 and steps 111 and 112, the **customer** performs self-personal authentication while using authentication information built in the IC memory for management of his/her own portable terminal and transmits the successful authentication **signal** of the relevant personal authentication to a seller as the party of the commercial transaction before the commercial transaction. In steps 106 and 114, on the basis of information showing the purchase amount of the commercial transaction transmitted from the seller to the portable terminal of the **customer**, the amount information in the portable terminal is updated in steps 107 and 115.

12/5/6   (Item 6 from file: 347)

05957551   **Image available**
 AUTOMATIC RETRANSMTITING SYSTEM FOR **STOCK**   **ORDER** DATA

PUB. NO.:   10-240651 [JP 10240651 A]
PUBLISHED: September 11, 1998 (19980911)
INVENTOR(s):   HASE MASAYUKI
APPLICANT(s):   HITACHI LTD [000510] (A Japanese Company or Corporation), JP
                (Japan)
APPL. NO.:   09-045265 [JP 9745265]
FILED: February 28, 1997 (19970228)
INTL CLASS: [6] G06F-013/00; **G06F-017/60**
JAPIO CLASS: 45.2 (INFORMATION PROCESSING -- Memory Units); 45.4
                (INFORMATION PROCESSING -- Computer Applications)

ABSTRACT
PROBLEM TO BE SOLVED: To secure the real time ability of **stock   order**
 and to save the manpower of a job by **automatically** accumulating **stock**
 order   data in a DB server when communication with a host computer is
impossible and **automatically** retransmitting **stock** data accumulated with
the communication at the time of resumption of the host computer.
SOLUTION: When a stock order is inputted from a **client** terminal 10, stock
order data are transmitted to a repeating server 30. At that time, the
repeating server 30 refers to the communication state **flag** of the host
computer 50. When the communication state **flag** cannot be communicated,
the repeating server 30 gives a stock order data accumulation request to
the DB server 40. Then, the DB server 40 gives a retransmission method
inquiry request to the **client** terminal 10. The **client** terminal 10
inquires of the retransmission method of the **stock   order** , and returns
the result to the DB server 40. Accumulated **stock   order** data are
 automatically   retrasmitted at the time of communication resumption with
the host computer 50.

 12/5/7   (Item 1 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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015960133   **Image available**
WPI Acc No: 2004-117974/200412
XRPX Acc No: N04-094214
   Trading method for fixed income securities where server executes trading
   instruction from anonymous   trader **while executing second trade to**
   offset first and credit approval is sought in real time
Patent Assignee: GOLDMAN SACHS & CO (GOLD-N)
Inventor: BUCHALTER L
Number of Countries: 001 Number of Patents: 001
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
US 2064	H	20030506	US 2000723409	A	20001128	200412	B

Priority Applications (No Type Date): US 2000723409 A 20001128
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 2064	H			G06F-017/60	

Abstract (Basic): US 20640 H
        NOVELTY - Data relating to trading a fixed income security is
    transmitted by server, before sales related information is received,
    and a live order from an **anonymous   trader** , related to received

information is transmitted and a commitment to market liquidity is also provided. A trade instruction is executed with server acting as counterparty to trade. A second trade is executed to offset the first trade, and financial data is sent in real time by **client** web access to credit system for approval.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for:

(1) a computer system for providing fixed income trading via a computerized network,

(2) computer executable program code residing on a computer-readable medium3

(3) a method for a **client** to interact with a **network** access device in **order** to complete a fixed income **security** **transaction** ; and

(4) a computer data **signal** embodied in a digital data stream comprising data relating to a fixed income security transaction

USE - Trading fixed income securities such as corporate bonds or municipal bonds (all claimed)

ADVANTAGE - Invention allows direct trading between **anonymous** market **participants** and provides price transparency, as well as a commitment to liquidity.

DESCRIPTION OF DRAWING(S) - The drawing shows a block diagram of the present invention

DwgNo 1/33

Title Terms: TRADE; METHOD; FIX; INCOME; SECURE; SERVE; EXECUTE; TRADE; INSTRUCTION; EXECUTE; SECOND; TRADE; OFFSET; FIRST; CREDIT; APPROVE; REAL ; TIME

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/8   (Item 2 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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015951809   **Image available**

WPI Acc No: 2004-109650/200411

XRPX Acc No: N04-087241

Computerized **investment system for** stock   brokering , **obtains current price for portfolio from server, and generates portfolio update and** sell signals **for investment when investment reaches its** sell **target**

Patent Assignee: AUMAXX PTE LTD (AUMA-N)

Inventor: LIM C Y

Number of Countries: 100 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200408363	A1	20040122	WO 2002SG150	A	20020702	200411	B

Priority Applications (No Type Date): WO 2002SG150 A 20020702

Patent Details:

Patent No	Kind Lan Pg	Main IPC	Filing Notes
WO 200408363	A1 E 19	G06F-017/60	

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SD SE SG SI SK SL TJ TM TN TR TT TZ UA UG US UZ VN YU ZA ZM ZW

Designated States (Regional): AT BE BG CH CY CZ DE DK EA EE ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SK SL SZ TR TZ UG ZM ZW

Abstract (Basic): WO 200408363 A1
        NOVELTY - The **client** computer maintains investment portfolio.
    Each investment in the portfolio has a predetermined sell target. The
    client computer obtains current price for portfolio from a server, and
    generates a portfolio update and sell **signals** for investment when the
    investment reaches its sell target. The computer also receives
    stop-loss **signals** from the server.
        USE - Computerized investment system for stock **brokering** , banking
    and insurance using computing device such as server computer, desktop
    computer, laptop computer, notebook computer, picket computer, personal
    digital assistant (PDA) and mobile device.
        ADVANTAGE - The selling methodology reduces the emotions of greed
    and fear, and allows the investments within the portfolio to be sold,
    for profit whenever possible, thereby providing a gain.
        DESCRIPTION OF DRAWING(S) - The figure shows the flowchart
    illustrating the investment process.
        pp; 19 DwgNo 2/4
Title Terms: COMPUTER; INVESTMENT; SYSTEM; STOCK; OBTAIN; CURRENT; PRICE;
  PORTFOLIO; SERVE; GENERATE; PORTFOLIO; UPDATE; SELL; **SIGNAL** ; INVESTMENT
  ; INVESTMENT; REACH; SELL; TARGET
Derwent Class: T01; T05
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/9   (Item 3 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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015902821   **Image available**
WPI Acc No: 2004-060661/200406
Related WPI Acc No: 2004-051945; 2004-060662; 2004-060663; 2004-061042;
  2004-061045; 2004-061344; 2004-070192; 2004-070194; 2004-081106
XRPX Acc No: N04-049104
    Electronic   securities   transactions **apparatus stores** security
    trade **matching events in first-in-first-out queue maintained in
    non-volatile memory**
Patent Assignee: FRIEDMAN B E (FRIE-I); HUGHES J T (HUGH-I)
Inventor: FRIEDMAN B E; HUGHES J T
Number of Countries: 001 Number of Patents: 001
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
US 20030225672	A1	20031204	US 2002385979	P	20020605	200406	B
			US 2002385988	P	20020605		
			US 2002206150	A	20020725		

Priority Applications (No Type Date): US 2002206150 A 20020725; US
  2002385979 P 20020605; US 2002385988 P 20020605
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20030225672	A1		9	G06F-017/60	Provisional application US 2002385979

                                        Provisional application US 2002385988

Abstract (Basic): US 20030225672 A1
        NOVELTY - A queue maintained in a non-volatile memory such as a
    magnetic disk drive, stores security trade events that **signals** a
    matching process (104) that matches orders or quotes to complete a
    security transaction.
        DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the

following:
    (1) securities processor; and
    (2) securities transaction method.
    USE - Used in **stock** market for **electronic** based **securities transaction** .
    ADVANTAGE - The security trade events can be processed faster while ensuring that no events are lost due to power loss, processing error, or communication failure.
    DESCRIPTION OF DRAWING(S) - The figure shows a block diagram of the securities transactions executing system.
    securities processor (100)
    matching queue (102)
    matching process (104)
    order entry module (106)
    quote entry module (108)
    supervisory module (110)
    market **participants** (114)
    network (124)
    server (128)
    pp; 9 DwgNo 1/2
Title Terms: ELECTRONIC; SECURE; TRANSACTION; APPARATUS; STORAGE; SECURE; TRADE; MATCH; EVENT; FIRST; FIRST; QUEUE; MAINTAIN; NON; VOLATILE; MEMORY
Derwent Class: T01; T05
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/10   **(Item 4 from file: 350)**
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

015831480   **Image available**
WPI Acc No: 2003-893684/200382
  Real time processing system and method for stock   trade   order **linked**
  to transaction **timing over** Internet
Patent Assignee: KIWOOM.COM SECURITIES CO LTD (KIWO-N)
Inventor: KIM D W
Number of Countries: 001   Number of Patents: 001
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
KR 2003063587	A	20030731	KR 20023789	A	20020123	200382	B

Priority Applications (No Type Date): KR 20023789 A 20020123
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
KR 2003063587	A		1	G06F-017/60	

Abstract (Basic): KR 2003063587 A
    NOVELTY - A real time stock trade order process system and method is provided to analyze a stock trade, and to perform a real time process for a stock trade order.
    DETAILED DESCRIPTION - The system comprises a trade timing calculator(71), a timing matcher(72), a stock trade site linker(73), an order window display(74), a **customer** order confirmation module(75), and a trade execution module(76). The trade timing calculator(71) calculates a stock trade timing based on the stock market data offered by a stock data analyzer. The timing matcher(72) matches the calculated stock trade timing with the stock data ordered by a **user** . The stock trade site linker(73) links to a stock trade company site which the **user** subscribes for. The order window display(74) displays the order

window of the linked stock trade company site. The **customer** order
confirmation module(75) checks whether the **user** sends a stock trade
order **signal** via the order window. The trade execution module(76)
executes the ordered stock trade according to the stock trade order
signal from the **user** .
        USE - Stock trading.
        DESCRIPTION OF DRAWING(S) - The drawing shows a diagram of the
system.
        pp; 1 DwgNo 1/10
Title Terms: REAL; TIME; PROCESS; SYSTEM; METHOD; STOCK; TRADE; ORDER; LINK
 ; TRANSACTION; TIME
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

12/5/11   (Item 5 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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015682495   **Image available**
WPI Acc No: 2003-744684/200370
XRPX Acc No: N03-596444
  **Service provision method in Internet based commercial services, involves
  fulfilling service partially by initial responding peer and requesting
  other peer to complete the remaining services**
Patent Assignee: INTEL CORP (ITLC)
Inventor: MANDERA S H
Number of Countries: 001 Number of Patents: 001
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
US 20030139934 A1   20030724   US 200127440   A   20011220   200370 B

Priority Applications (No Type Date): US 200127440 A 20011220
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
US 20030139934 A1   15 G06F-017/60

Abstract (Basic): US 20030139934 A1
        NOVELTY - A server (110) has a register (155) to store the list of
    available services and list of identifiers of corresponding peers which
    provides service to a requesting peer (115) through the Internet (140).
    The request is partially fulfilled by the responding peer (120) and
    request for completing the remaining service is forwarded to the
    responding peer (130).
        DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the
    following:
        (1) data structure for service provision;
        (2) response data structure stored on machine readable medium;
        (3) **signal** bearing structure stored on machine readable medium;
        (4) **signal** bearing medium storing service instructions; and
        (5) business service providing apparatus.
        USE - For providing various **online** services such a **stock**
    transaction , banking service using portable computer, pager, cellular
    phone, personal digital assistant (PDA),pocket/laptop computer through
    Internet , local area **network** (LAN), wide area network (WAN).
        ADVANTAGE - Enables maintaining the service continuity even in case
    of service interruption due to provision of partition based service
    execution among the responding peers.
        DESCRIPTION OF DRAWING(S) - The figure shows the functional block

diagram of service providing network.
    server (10)
    requesting peer (115)
    responding peers (120,130)
    Internet (140)
    register (155)
    pp; 15 DwgNo 1/6
Title Terms: SERVICE; PROVISION; METHOD; BASED; COMMERCIAL; SERVICE;
  SERVICE; INITIAL; RESPOND; PEER; REQUEST; PEER; COMPLETE; REMAINING;
  SERVICE
Derwent Class: T01; W01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/12   (Item 6 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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015649401   **Image available**
WPI Acc No: 2003-711584/200367
XRPX Acc No: N03-569130
   Anonymous **transaction conducting method for online shopping, involves
  permitting client to access transaction vendors, using personal
  identification number of client through proxy**
Patent Assignee: WICZKOWSKI F T (WICZ-I)
Inventor: WICZKOWSKI F T
Number of Countries: 001 Number of Patents: 001
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
US 20030163413 A1   20030828 US 200285351   A   20020228 200367 B

Priority Applications (No Type Date): US 200285351 A 20020228
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
US 20030163413 A1   18 G06F-017/60

Abstract (Basic): US 20030163413 A1
      NOVELTY - A personal purchasing identification number is assigned
   to client corresponding to transaction session. A communication is
   established using the identification number, through a proxy to permit
   the client to access transaction vendors **anonymously** . The payment for
   the transaction is made to the proxy by client and the payment to the
   vendor is confirmed from the proxy.
      DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the
   following:
      (1) **anonymous** transaction provision method; and
      (2) secure **anonymous** transaction system.
      USE - For conducting secure **anonymous** transaction such as
   electronic payment processing, order fulfillment, browsing, shopping
   and purchasing through open network such as internet.
      ADVANTAGE - Since the **transaction** vendors are accessed through
   the proxy, the misuse of the customer's identity is prevented, thereby
   improving the overall **security** of customers performing **transactions**
   through **internet** . Also eliminates customer's risk of identity fraud
   by limiting number of locations for storing customer's personal
   information and limiting duration for purchasing goods using credit
   card.
      DESCRIPTION OF DRAWING(S) - The figure shows the hierarchical
   structure of components of secure **anonymous** transaction engine.

pp; 18 DwgNo 1/3
Title Terms: TRANSACTION; CONDUCTING; METHOD; SHOPPING; PERMIT; CLIENT;
  ACCESS; TRANSACTION; VENDING; PERSON; IDENTIFY; NUMBER; CLIENT; THROUGH
Derwent Class: T01; T05
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

12/5/13   (Item 7 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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015575155
WPI Acc No: 2003-637312/200361
XRPX Acc No: N03-507038
  **Global consumer funds management update service for portfolio management
  has active/passive intelligent** client **that requests update data,
  initiates handshake and login to FM update service to receive financial
  position data**
Patent Assignee: WALDEN M D J (WALD-I)
Inventor: WALDER M D J
Number of Countries: 001 Number of Patents: 001
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
AU 200215454   A   20030814   AU 200215454   A   20020207 200361 B

Priority Applications (No Type Date): AU 200215454 A 20020207
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
AU 200215454 A   30 G06F-017/60

Abstract (Basic): AU 200215454 A
       NOVELTY - The Internet application has a graphics **user** interface
  with scripting features that are automated by timer, volume, and click
  of a button. An **user** friendly interface panel allows **users** to
  manage their managed funds portfolio. The service provides up to the
  minute financial information statistics with regard to the customers
  portfolio current financial market position. The service also gives
  tutorial support for all fields with field information and how it
  relates to the application and provides **alerts** for price/portfolio
  movements via an **alerts** box. the application operational overview is
  as follows: an active/passive intelligent **client** initiates handshake
  with the Funds Management (FM) update service and requests updated
  data. The FM update service application script then interrogates the FM
  update data providers. The application script drives a login script to
  the FM update service, where upon the application receives data from
  Browser and updates financial position and watch-list details
       USE - Global consumer funds management **Internet** update service
  that allows consumers to manage their managed funds portfolio. The
  consumers may include customers of E-commerce **securities** firms who
  distribute to customers on commission, e-commerce **web** sites and
  customers of the global home managed funds **trading** market.
       ADVANTAGE - Provides an efficient service system that allows
  consumers to manage their investment market funds portfolio in a secure
  and **user** friendly way, while reducing the load on both the
  communication infrastructure pathways and the consumer interactive
  workload.
       pp; 30 DwgNo 0/1
Title Terms: GLOBE; CONSUME; FUND; MANAGEMENT; UPDATE; SERVICE; PORTFOLIO;
  MANAGEMENT; ACTIVE; PASSIVE; INTELLIGENCE; **CLIENT** ; REQUEST; UPDATE;

DATA; INITIATE; HANDSHAKE; FM; UPDATE; SERVICE; RECEIVE; FINANCIAL;
POSITION; DATA
Derwent Class: T01; T05
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/14   (Item 8 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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015489563   **Image available**
WPI Acc No: 2003-551710/200352
  Device and method for displaying sale of cyber stock exchanging system
Patent Assignee: YANG Y C (YANG-I)
Inventor: YANG Y C
Number of Countries: 001 Number of Patents: 001
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
KR 2003027132	A	20030407	KR 200156308	A	20010912	200352	B

Priority Applications (No Type Date): KR 200156308 A 20010912
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
KR 2003027132	A		1	G06F-017/60	

Abstract (Basic): KR 2003027132 A
     NOVELTY - A device and method for displaying a sale of a cyber
  stock exchanging system is provided to enable an **investor** to order a
  stock for a sale without calculating a price and the total sale amount
  of money by recognizing all prices of a corresponding item on a sale
  screen for a cyber stock exchange and automatically inputting a
  purchase amount and a unit purchase price on a sale input space
  according as a specific cell on a matrix is selected.
     DETAILED DESCRIPTION - When a private emulator installed in a
  client PC or a **web** browser is executed, the **client** PC connects to
  a main server of each **security** corporation through a communication
  network (S1). If a **user** selects a sale **order** screen, a sale **order**
  screen is displayed(S2). If the **user** selects a matrix button for
  recognizing a **stock** price/sale amount/total sale price list(S3), the
  client PC outputs an item number, an account number, and a calculation
  execution key **signal** to the main server(S4). If a matrix key **signal**
  is inputted(S5), the main server judges whether a possession amount of
  a corresponding item exists(S6). If the possession amount exists, the
  current price list form the maximum price to the minimum price is
  calculated based on a standard price of the corresponding item(S7).
  Each current price is compared with the standard price on the current
  price list, and each ups and downs rate according to each minimum price
  is calculated(S8). Each ups and downs range according to each minimum
  price is calculated by subtracting the standard price from each current
  price. A possession amount of a corresponding stock possessed by the
  user is divided, and a sale amount list is calculated. The total sale
  amount of money list is calculated by multiply each current price by a
  sale available amount on a stock price list. The main server outputs
  the stock price list, the sale amount list, and the total amount of
  money list calculation result to the **client** PC. The **client** PC
  displays the inputted calculation result. If the **user** clicks twice a
  specific cell on the matrix, a sale amount and the current price are
  inputted automatically. If the **user** presses an order button, the
  inputted sale amount and current price are output to the main server.

pp; 1 DwgNo 1/10
Title Terms: DEVICE; METHOD; DISPLAY; SALE; STOCK; EXCHANGE; SYSTEM
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

12/5/15   (Item 9 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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015430429   **Image available**
WPI Acc No: 2003-492571/200346
Related WPI Acc No: 2001-225709
XRPX Acc No: N03-391265
  **Fractional interest valuation method in online financial transaction,
  involves regulating valuation of fractional interest components related
  to contingency and non-contingency groups using control program**
Patent Assignee: GRAFF R A (GRAF-I)
Inventor: GRAFF R A
Number of Countries: 001 Number of Patents: 001
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
US 20030069817 A1   20030410   US 98145341   A   19980901   200346 B
                                US 2000742495   A   20001220

Priority Applications (No Type Date): US 98145341 A 19980901; US 2000742495
  A 20001220
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
US 20030069817 A1   403 G06F-017/60   Cont of application US 98145341
                                       Cont of patent US 6167384

Abstract (Basic): US 20030069817 A1
      NOVELTY - A group of input parameters is converted into digital
  signals and input into a digital computer. The fractional interest
  components related to a property or real estate are valued using the
  digital **signals** and control program. The valuation is controlled,
  according to the contingent and non-contingent interest groups.
      DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for the
  following:
      (1) financial analysis method for computer based fractional
  interest valuation;
      (2) system based purchase price analysis method; and
      (3) financial documentation method.
      USE - For determining fractional interest values related to
  securities , real estate, taxation and lending of properties offered by
  financial institutions like insurance companies in computer based
  online financial **transactions** .
      ADVANTAGE - Protects the **investors** /lenders from economic loss by
  evaluating the fractional interest correctly, according to contingency
  periods. Enables providing proper support to different transactions due
  to effective decomposition of equity interests, thereby potential
  investors /lenders are identified easily.
      DESCRIPTION OF DRAWING(S) - The figure shows a graphic
  representation of separated purchase transaction.
      pp; 403 DwgNo 1/6
Title Terms: FRACTION; INTEREST; VALUE; METHOD; FINANCIAL; TRANSACTION;
  REGULATE; VALUE; FRACTION; INTEREST; COMPONENT; RELATED; NON; GROUP;
  CONTROL; PROGRAM

Derwent Class: T01
International Patent Class (Main): G06F-017/60
File Segment: EPI

 12/5/16   (Item 10 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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015354973   **Image available**
WPI Acc No: 2003-415911/200339
Related WPI Acc No: 2003-341197; 2003-380368
XRPX Acc No: N03-331420
   Security **certificates generation method for hire vehicles, involves
  notifying local** user **of expiring policy from list of expiring policies
  requiring action and** electronically ordering **required certificates**
Patent Assignee: ACE LTD (ACEA-N)
Inventor: CHAPMAN E; CHU P; DEAN L M; ISHERWOOD K L
Number of Countries: 001 Number of Patents: 001
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
US 6526386   B1   20030225 US 99329660   A   19990610 200339 B

Priority Applications (No Type Date): US 99329660 A 19990610
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
US 6526386   B1   15 G06F-017/60

Abstract (Basic): US 6526386 B1
      NOVELTY - The expiring policies stored in a central computer, are
   automatically **flagged** to generate a list of expiring policies. A
   local **user** selects one of the expiring policies, requiring action by
   the local **user** and is notified to receive instructions. A
   cancellation certificate, a renewal certificate and proof of insurance
   are electronically ordered and printed in accordance with the received
   instructions.
      DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for
   cancellation certificate generation system.
      USE - For generating security certificates such as cancellation
   certificates, renewal certificates and proof of insurance for hire
   vehicles, from remote computer connected to central computer.
      ADVANTAGE - Allows an insurance agent to generate car insurance
   certificates with minimum of interaction with insurance personnel.
      DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of
   hire vehicles insurance certificates generation system.
      pp; 15 DwgNo 1/10
Title Terms: SECURE; CERTIFY; GENERATE; METHOD; HIRE; VEHICLE; NOTIFICATION
 ; LOCAL; **USER** ; EXPIRE; LIST; EXPIRE; REQUIRE; ACTION; ELECTRONIC; ORDER
 ; REQUIRE; CERTIFY
Derwent Class: T01
International Patent Class (Main): G06F-017/60
File Segment: EPI

 12/5/17   (Item 11 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

015250872   **Image available**
WPI Acc No: 2003-311798/200330

Bode Akintola24-Feb-04

XRPX Acc No: N03-248252
   Trading activity sponsorship provision method through electronic
   communication network, involves receiving designation of third party as
   sponsor for specified trade, after which specified trade is executed
Patent Assignee: GREIFELD R (GREI-I); HYNDMAN B K (HYND-I); SCHENKMAN R D
   (SCHE-I); BRUT ECN LLC (BRUT-N)
Inventor: GREIFELD R; HYNDMAN B K; SCHENKMAN R D
Number of Countries: 100   Number of Patents: 002
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
US 20020198815 A1   20021226 US 2001893330   A   20010626   200330 B
WO 200303142   A2   20030109 WO 2002US13760   A   20020429   200330

Priority Applications (No Type Date): US 2001893330 A 20010626
Patent Details:
Patent No   Kind Lan Pg   Main IPC   Filing Notes
US 20020198815 A1   20 G06F-017/60
WO 200303142 A2 E   G06F-000/00
   Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
   CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN
   IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ
   OM PH PL PT RO RU SD SE SG SI SK SL TJ TM TN TR TT TZ UA UG UZ VN YU ZA
   ZM ZW
   Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
   IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZM ZW

Abstract (Basic): US 20020198815 A1
      NOVELTY - An institution is enabled to access the electronic
   communication network (ECN) (100). A specification of a trade to be
   executed and a designation of a third party as a sponsor for the
   specified trade, are received from the institution, after which the
   specified trade is executed.
      DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for the
   following:
      (1) electronic communication network system; and
      (2) electronic communication network support application.
      USE - For providing sponsorship of **trading** activity by
   institutions such as mutual funds, banks, insurance companies, asset
   managers, pension plans, hedge funds, etc., for **buying** and **selling**
   securities e.g. **stocks** , futures, options, commodities, etc., on an
   electronic communication **network** (ECN).
      ADVANTAGE - Enables direct entry of orders to buy and sell
   securities, **anonymous** order display and order routing. Enables to
   receive quality non trade-related services.
      DESCRIPTION OF DRAWING(S) - The figure shows a network diagram of
   the ECN client-server environment.
      electronic communication network (100)
      pp; 20 DwgNo 1/10
Title Terms: TRADE; ACTIVE; PROVISION; METHOD; THROUGH; ELECTRONIC;
   COMMUNICATE; NETWORK; RECEIVE; DESIGNATED; THIRD; PARTY; SPECIFIED; TRADE
   ; AFTER; SPECIFIED; TRADE; EXECUTE
Derwent Class: T01
International Patent Class (Main): G06F-000/00; **G06F-017/60**
File Segment: EPI

   12/5/18   (Item 12 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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                        Bode Akintola24-Feb-04

015139258   **Image available**
WPI Acc No: 2003-199785/200319
XRPX Acc No: N03-158989
  **Active data warehousing method for electronic trading, involves checking
  debt note sent by** customer **and sending invoice from supplier, after
  outbound notice is received by** customer
Patent Assignee: SHENDA COMPUTER CO LTD (SHEN-N); MITAC INT CORP (MITA-N)
Inventor: CHIEN C
Number of Countries: 003 Number of Patents: 003
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
US 20020174032	A1	20021121	US 2002123809	A	20020416	200319	B
JP 2003030505	A	20030131	JP 2002112385	A	20020415	200319	
TW 511009	A	20021121	TW 2001111903	A	20010518	200353	

Priority Applications (No Type Date): TW 2001111903 A 20010518
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20020174032	A1		6	G06F-017/60	
JP 2003030505	A		8	G06F-017/60	
TW 511009	A			G06F-017/30	

Abstract (Basic): US 20020174032 A1
      NOVELTY - A virtual hub sends data regarding quantity of material
received to **customer** according to advanced shipping notice. After
receiving demand from **customer**, the hub sends material to **customer**
and outputs material outbound notice to supplier and **customer**. The
supplier checks a debt note sent by the **customer** and finally outputs
an invoice to the **customer**.
      USE - For electronic trading.
      ADVANTAGE - **Triggers** suitable actions **automatically** for
improving **stock**, handling material transfer, and processing **order**.
Makes the **trade** interactions smoother and easier, by satisfying
instant requirements of the supplier, the virtual hub and the **customer**

      DESCRIPTION OF DRAWING(S) - The figure shows the flowchart
explaining operations between supplier, virtual hub and **customer**.
      pp; 6 DwgNo 2/2
Title Terms: ACTIVE; DATA; WAREHOUSE; METHOD; ELECTRONIC; TRADE; CHECK;
  NOTE; SEND; **CUSTOMER**; SEND; INVOICING; SUPPLY; AFTER; NOTICE; RECEIVE;
  CUSTOMER
Derwent Class: T01
International Patent Class (Main): G06F-017/30; **G06F-017/60**
International Patent Class (Additional): B65G-061/00; G06F-019/00
File Segment: EPI

 12/5/19   (Item 13 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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015125897   **Image available**
WPI Acc No: 2003-186421/200319
XRPX Acc No: N03-146904
  High security Internet **vendor-purchaser** transactions **, in which
  buyer, vendor and account managing third party correspond using
  identifiers for** transaction **and vendor**
Patent Assignee: MUCASH (MUCA-N)
Inventor: BENJELLOUN K; MOUYAL E
Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
FR 2826755	A1	20030103	FR 20018739	A	20010629	200319	B

Priority Applications (No Type Date): FR 20018739 A 20010629
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
FR 2826755	A1		20	G06F-017/60	

Abstract (Basic): FR 2826755 A1
    NOVELTY - The account corresponding to an account identifier is
anonymous . In a first stage (a) the sending, by a second equipment (B)
to a third equipment (A), of a transaction project is accompanied by
the vendors electronic signature. A stage (b) also includes the
definition of the transaction identifier by the equipment (A) which
sends to the equipment (B) the transaction identifier.
    DETAILED DESCRIPTION - Secure method for carrying out remote
electronic transactions between a buyer using a data system (C) and a
supplier using data equipment (B) with the intervention of a third
party manager of accounts using data equipment (A). The method includes
the following successive stages:
    (a) the equipment (B) sends to equipment (A), without going via
(C), a transaction project including a vendors identifier and the
transaction price; (A) memorizes the transaction project and its
specific identifier; (C) sends to (A) the transaction identifier and an
account identifier; (A) subtracts from an account corresponding to the
account identifier a sum corresponding to at least a part of the
transaction price; (A) confirms that the transaction identifier sent by
(C) corresponds to the specific transaction identifier for the
transaction project which has been memorized by (A).
    USE - For making secure transactions via the Internet..
    ADVANTAGE - Designed to reduce possibility of fraud and to ensure
effective payment of purchase transactions..
    DESCRIPTION OF DRAWING(S) - The drawing illustrates the flow of
data between the three parties.
    account manager (A)
    supplier (B)
    purchaser. (C)
    pp; 20 DwgNo 1/1
Title Terms: HIGH; SECURE; VENDING; PURCHASE; TRANSACTION; BUY; VENDING;
  ACCOUNT; MANAGE; THIRD; PARTY; CORRESPOND; IDENTIFY; TRANSACTION; VENDING
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

12/5/20   (Item 14 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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015042292   **Image available**
WPI Acc No: 2003-102808/200309
XRPX Acc No: N03-082144
  **Computer-based electronic trading system has central controller that
  matches buy orders and sell orders for respective instruments in price,
  time priority basis**
Patent Assignee: MARKET AXESS INC (MARK-N)
Inventor: FINEBAUM M L; LEVIE B; MURPHY T
Number of Countries: 001 Number of Patents: 001
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week

US 20020156719 A1 20021024 US 2000249849   P   20001117   200309   B
                              US 20011921   A   20011115

Priority Applications (No Type Date): US 2000249849 P 20001117; US 20011921
  A 20011115
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
US 20020156719 A1   66 G06F-017/60   Provisional application US 2000249849

Abstract (Basic): US 20020156719 A1
        NOVELTY - Several traders enter their trading orders for debt
    instruments through respective computers, each of which executes a
    client application. A central controller coupled to the computer,
    matches buy orders and sell orders for respective debt instruments in a
    price, time priority basis, and reports all matched orders as executed
    rates to each of the traders.
        DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for the
    following:
        (1) Computer-based electronic trading method;
        (2) Insurable instrument purchasing method;
        (3) Insurable instrument trading method;
        (4) Insurable instrument trading apparatus;
        (5) Computer-based bond instrument trading method;
        (6) Computer-based bond instrument trading apparatus; and
        (7) Method for transacting in municipal security and transacting
    for insurance in conjunction with the municipal securities.
        USE - Computer-based **electronic   trading** system for **trading**
    debt instruments such as **bonds** .
        ADVANTAGE - Allows direct but **anonymous** trading which permits
    both buyers and seller to see the price at which they trade and avoids
    the need and cost for intermediary. Enables traders to enter trading
    orders in a truly **anonymous** manner, thereby providing a bond market
    that is solely influenced by true market pricing and not by external,
    non-market influences. Allows the user to interact with any order,
    manage his own orders in real time and obtain real time information on
    his orders and trades.
        DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of
    the electronic trading system.
        pp; 66 DwgNo 1/8
Title Terms: COMPUTER; BASED; ELECTRONIC; TRADE; SYSTEM; CENTRAL; CONTROL;
  MATCH; BUY; ORDER; SELL; ORDER; RESPECTIVE; INSTRUMENT; PRICE; TIME;
  PRIORITY; BASIS
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/21   (Item 15 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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014911485   **Image available**
WPI Acc No: 2002-732191/200279
Related WPI Acc No: 2002-667508; 2003-017974; 2003-017977; 2003-266151;
  2003-559083; 2003-757083; 2004-043737; 2004-043743; 2004-069808;
  2004-071795; 2004-071797; 2004-107478
XRPX Acc No: N02-577340
  **Computer implemented risk management method for financial institutions,
  government entities, involves calculating risk quotient by referring
  structured information and gathered data relating to risk variables**

Patent Assignee: JUNNARKAR A (JUNN-I); LAWRENCE D (LAWR-I); GOLDMAN SACHS & CO (GOLD-N)
Inventor: JUNNARKAR A; LAWRENCE D
Number of Countries: 100   Number of Patents: 002
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
US 20020138371	A1	20020926	US 2001812627	A	20010320	200279	B
			US 2001919413	A	20010731		
WO 200312589	A2	20030213	WO 2002US24123	A	20020730	200313	

Priority Applications (No Type Date): US 2001919413 A 20010731; US 2001812627 A 20010320
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20020138371	A1		14	G06F-017/60	CIP of application US 2001812627
WO 200312589	A2	E		G06F-000/00	

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO RU SD SE SG SI SK SL TJ TM TN TR TT TZ UA UG UZ VN YU ZA ZM ZW
Designated States (Regional): AT BE BG CH CY CZ DE DK EA EE ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SK SL SZ TR TZ UG ZM ZW

Abstract (Basic): US 20020138371 A1
NOVELTY - Data related to risk variables associated with an online transaction are gathered. The received information relating to details of the online transaction are structured according to risk quotient criteria. A risk quotient is calculated by referring the structured information and the gathered data.
DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for the following:
(1) Computerized risk management system;
(2) Computer readable medium storing risk management program;
(3) Computer data **signal** in digital data stream comprising data relating to risk management; and
(4) Method of interacting with network access device to manage risk relating to online transaction.
USE - For managing legal, regulatory financial and reputational risks for **online** retailers or wholesalers, individuals, business to business suppliers, government entities, **trading** firms, **online** auctions, bank and non-bank financial institutions including investment banks, merchant banks, commercial banks, **security** firms, asset management companies, hedge funds, mutual funds, credit rating funds, securities exchanges and bourses, institutional and individual **investors** , law firms, accounting firms, auditing firms, etc.
ADVANTAGE - Facilitates analysis and quantification of risk associated with executing online transaction and enables proper management of risk associated with a particular entity or transaction by calculating risk quotient based on gathered risk variables.
DESCRIPTION OF DRAWING(S) - The figure shows the schematic illustration of online transaction risk management system.
pp; 14 DwgNo 2/5
Title Terms: COMPUTER; IMPLEMENT; RISK; MANAGEMENT; METHOD; FINANCIAL; INSTITUTION; GOVERN; ENTITY; CALCULATE; RISK; QUOTIENT; REFER; STRUCTURE; INFORMATION; GATHER; DATA; RELATED; RISK; VARIABLE
Derwent Class: T01; T05
International Patent Class (Main): G06F-000/00; **G06F-017/60**
File Segment: EPI

12/5/22   (Item 16 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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014901262   **Image available**
WPI Acc No: 2002-721968/200278
XRPX Acc No: N02-569243
  **E-commerce system, uses third party to handle payment and contract
  relating to transaction between user and service provider**
Patent Assignee: TELIA AB (TELI-N)
Inventor: WALLENTIN J; WICKBOM C
Number of Countries: 001 Number of Patents: 002
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
SE 200101985	A	20020515	SE 20011985	A	20010606	200278	B
SE 518229	C2	20020910	SE 20011985	A	20010606	200278	

Priority Applications (No Type Date): SE 20004159 A 20001114
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
SE 200101985	A		17	G06F-017/60	
SE 518229	C2			G06F-017/60	

Abstract (Basic): SE 200101985 A
     NOVELTY – User (2) connects to telecommunication network (11) via
first proxy server (21) which replaces user identification number (2a)
with new one (21a). User starts payment session with service provider
(3). Service provider contacts third party (4) with information about
payment session. Third party draws up contract and sends it to user and
service provider for approval. Third party controls payment between
user and service provider once service has been delivered.
     DETAILED DESCRIPTION – The user (2) connects to the
telecommunication network (11) via first proxy server (21) which
replaces user identification number (2a) with a new identification
number (21a) associated with each communication packet sent by the
user. During an initiation stage, the user starts a payment session
with the service provider (3), then the service provider contacts a
third party (4) with information relating to this payment session, and
the third party draws up a contract based on this information, which is
sent to the user and service provider for approval. The third party
controls payment between the user and service provider once the service
has been delivered in accordance with the terms of the contract. The
third party sends a copy of the contract to the service provider and
sends a further copy of the contract to the user, and the user has to
sign the contract after approving it, and then return the signed copy
of the contact to the service provider. Finally, the service provider
sends the signed contract to the third party.
     INDEPENDENT CLAIMS are also included for (a) software products for
carrying out the functions for the first proxy server, the service
provider, the third party and a second proxy server, and (b) a
computer-readable medium containing software program code used to carry
out the functions for the service provider, the third party and a
second proxy server.
     USE – E-commerce system using third party to handle payment.
     ADVANTAGE – The system can handle both large payments and so-called
micropayments between a user and one or more different service
providers. The user can pay using an account method or implicit
payments without having to give personal information to the service
provider. The system also offers good **security** to a service provider
dealing with an **unknown** user. Unauthorized use of the user's identity
for **electronic   transactions** is prevented. The system is invisible

to the user and service provider following initiation.
      DESCRIPTION OF DRAWING(S) - Figure 1 shows a schematic view of the
e-commerce system.
      E-commerce system (1)
      User (2)
      Identification number (2a)
      Service provider (3)
      Third party (4)
      Economic entity (5)
      Telecommunication network (11)
      Proxy server (21)
      Identification number (21a)
      Payment unit (22)
      User account (42)
      Service provider account (43)
      pp; 17 DwgNo 1/4
Title Terms: SYSTEM; THIRD; PARTY; HANDLE; PAY; CONTRACT; RELATED;
  TRANSACTION; USER; SERVICE
Derwent Class: T01; T05; W01
International Patent Class (Main): **G06F-017/60**
International Patent Class (Additional): G07F-019/00
File Segment: EPI

 12/5/23   (Item 17 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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014900444   **Image available**
WPI Acc No: 2002-721150/200278
  Realty investment and transaction service system based on network
Patent Assignee: KIM K (KIMK-I)
Inventor: KIM K
Number of Countries: 001 Number of Patents: 001
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
KR 2002042074 A   20020605   KR 200071804   A   20001130   200278 B

Priority Applications (No Type Date): KR 200071804 A 20001130
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
KR 2002042074 A   1 G06F-017/60

Abstract (Basic): KR 2002042074 A
      NOVELTY - A system for a realty investment and a **transaction**
    service based on a **network** is provided to make an **investor** invest
    in the realty by a share and a **bond** format on an on-line mode by
    valuating and registering the undeveloped realty goods explored by the
    realty managers.
      DETAILED DESCRIPTION - The system comprises a communication
    network(10), the realty manager computers(20), the **investor**
    computers(30) and a server computer(40). The server computer outputs
    the form data to the realty manger computers by receiving the realty
    registration request **signal** from the realty manager, registers the
    detail of the realty and the data necessary to the valuation inputted
    by the manager to a database, outputs a list of the registered realties
    to the **investor** computer, stores the realty selection data and the
    invest data inputted by the **investor** in the database, provides the
    invest from the **investors** to the realty manager, and divides the
    share or bond of the realty selected by the realty manager to each

investor .
        pp; 1 DwgNo 1/10
Title Terms: INVESTMENT; TRANSACTION; SERVICE; SYSTEM; BASED; NETWORK
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/24   (Item 18 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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014831045   **Image available**
WPI Acc No: 2002-651751/200270
XRPX Acc No: N02-516343
   Electronic   stock   transaction **system through** internet , **transmits**
   warning signal **demanding verification to** customer 's computer and
   worker's computer, when wrong input is made from customer **side based on**
   setting conditions
Patent Assignee: KAKU S (KAKU-I)
Number of Countries: 001 Number of Patents: 001
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
JP 2002236828 A   20020823 JP 200135195   A.* 20010213 200270 B

Priority Applications (No Type Date): JP 200135195 A 20010213
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
JP 2002236828 A   5 G06F-017/60

Abstract (Basic): JP 2002236828 A
        NOVELTY - A transmitter transmits a **warning   signal** demanding
   the verification to a **customer** side computer system and to a security
   worker side computer system, when there is an input mistake from the
   customer side computer system based on the setting conditions.
        USE - For **electronic   stock   transaction** through **internet** .
        ADVANTAGE - Transaction is performed safely without any error.
        DESCRIPTION OF DRAWING(S) - The figure shows the flowchart
   explaining the **electronic   stock   order   transaction** process.
   (Drawing includes non-English language text).
        pp; 5 DwgNo 1/5
Title Terms: ELECTRONIC; STOCK; TRANSACTION; SYSTEM; THROUGH; TRANSMIT;
  WARNING ;   SIGNAL ; DEMAND; VERIFICATION; **CUSTOMER** ; COMPUTER; WORK;
  COMPUTER; WRONG; INPUT; MADE; **CUSTOMER** ; SIDE; BASED; SET; CONDITION
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/25   (Item 19 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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014761810
WPI Acc No: 2002-582514/200262
XRPX Acc No: N02-461910
  Online trading system for casino games, transmits signal with activation
  of buy / sell **indicator to** buy / sell stocks , **to server, and**
  displays received purchase/ selling **price of** stock **and changing value**
  of stock **with time**

Patent Assignee: GFL GLOBAL FINANCING LTD (GFLG-N); ADAO E SILVA P A
   (SILV-I); HOWARD R I (HOWA-I)
Inventor: ADAO E SILVA P A; HOWARD R I; ADAO E SILVA B C P A
Number of Countries: 097   Number of Patents: 003
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
US 20020069152	A1	20020606	US 2000736939	A	20001214	200262	B
WO 200248945	A1	20020620	WO 2001US48831	A	20011213	200262	
AU 200230974	A	20020624	AU 200230974	A	20011213	200267	

Priority Applications (No Type Date): US 2000736939 A 20001214
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 20020069152	A1		12	G06F-017/60	
WO 200248945	A1	E		G06F-017/60	

   Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
   CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN
   IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ
   PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW
   Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
   IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZM ZW

| AU 200230974 | A | | | G06F-017/60 | Based on patent WO 200248945 |

Abstract (Basic): US 20020069152 A1
       NOVELTY – A terminal transmits a **signal** with the activation of a
   buy or sell indicator, to buy or sell specified amount of stock to a
   server and displays received purchase or selling price of the stock.
   The terminal periodically updates the changing value of the stock with
   time and indicates the money available for the purchase. The server
   processes the received buy and sell orders on behalf of terminal **user**
   .
       DETAILED DESCRIPTION – An INDEPENDENT CLAIM is included for stocks
   buying and selling method.
       USE – For performing trading by buying and selling stocks for
   computer game, casino game, horse racing and other sports betting.
       ADVANTAGE – The decisions of buying and selling stocks are
   activated, by clicking the respective buttons on the screen. The
   present status of the stock is also displayed, thereby making the
   trading convenient, easy and simple. The fun and excitement of the game
   is achieved. Eliminates the need for a **brokerage** house to execute
   transaction.
       pp; 12 DwgNo 0/5
Title Terms: TRADE; SYSTEM; CASINO; GAME; TRANSMIT; **SIGNAL** ; ACTIVATE; BUY
   ; SELL; INDICATE; BUY; SELL; STOCK; SERVE; DISPLAY; RECEIVE; PURCHASE;
   SELL; PRICE; STOCK; CHANGE; VALUE; STOCK; TIME
Derwent Class: T01; T05; W04
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/26   (Item 20 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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014713845   **Image available**
WPI Acc No: 2002-534549/200257
 Method for automatically   transacting   stock **on** internet
Patent Assignee: YES LTD STOCK CO (YESS-N)
Inventor: DOKGO J; JUNG S G
Number of Countries: 001   Number of Patents: 001
Patent Family:

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Patent No     Kind   Date     Applicat No    Kind   Date      Week
KR 2002011055  A    20020207  KR 200044444    A    20000731  200257  B
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Priority Applications (No Type Date): KR 200044444 A 20000731
Patent Details:
```
Patent No  Kind Lan Pg   Main IPC      Filing Notes
KR 2002011055 A      1 G06F-017/60
```

Abstract (Basic): KR 2002011055 A

NOVELTY - An **automatic stock transaction** method is provided
to receive real time **stock** informations on the **internet** and
generate a **stock transaction** index for determining a **stock
transaction** time.

DETAILED DESCRIPTION - The method comprises steps of driving a
trading task(406), detecting if a request **signal** for changing
interest items is transmitted from a **user** interface(408), changing a
list of the interest items in the case that the item change request
signal is transmitted(410), detecting if a request **signal** for
changing an order/contract is transmitted(412), changing the
order/contract in the case that the order change request **signal** is
transmitted(414), detecting if a request **signal** for changing an index
attribute is transmitted(416), changing the index attribute in the case
that the index attribute change request **signal** is transmitted(418),
detecting if a request **signal** for changing a system trading is
transmitted(420), and changing the system trading in the case that the
system trading change request **signal** is transmitted(422).

pp; 1 DwgNo 1/10
Title Terms: METHOD; AUTOMATIC; STOCK
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

12/5/27   (Item 21 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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014675954   **Image available**
WPI Acc No: 2002-496658/200253
XRPX Acc No: N02-393222
  Transaction security **provision method for** on - line **shopping,
  involves assigning recognition mark to each** user web **sites and
  outputs** warning **if recognition mark is not present in purchase
  applications**
Patent Assignee: TOKYO ELECTRIC CO LTD (TODK)
Number of Countries: 001 Number of Patents: 001
Patent Family:
```
Patent No     Kind   Date     Applicat No    Kind   Date      Week
JP 2002163574  A    20020607  JP 2000358030    A    20001124  200253  B
```

Priority Applications (No Type Date): JP 2000358030 A 20001124
Patent Details:
```
Patent No  Kind Lan Pg   Main IPC     Filing Notes
JP 2002163574 A     10 G06F-017/60
```

Abstract (Basic): JP 2002163574 A

NOVELTY - A recognition mark is assigned to web site of **users** to
authenticate the **users** while shopping. When a **user** needs to
purchase goods, the authentication server checks for the recognition
mark in the application for purchase and if not present, a **warning**

signal is output.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are included for the following:

(1) Goods transaction security providing program; and

(2) Storage medium storing goods transaction security providing program.

USE - For providing **transaction security** to purchasers in **on - line** shopping through **internet** .

ADVANTAGE - Each **user** is authenticated by using recognition mark, hence only registered **users** are allowed to perform shopping, thus reliable security is assured.

DESCRIPTION OF DRAWING(S) - The figure shows the flowchart explaining the steps involved in the security provision. (Drawing includes non-English language text).

pp; 10 DwgNo 4/4

Title Terms: TRANSACTION; SECURE; PROVISION; METHOD; LINE; SHOPPING; ASSIGN ; RECOGNISE; MARK; **USER** ; WEB; SITE; OUTPUT; **WARNING** ; RECOGNISE; MARK; PRESENT; PURCHASE; APPLY

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/28   (Item 22 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014614416   **Image available**

WPI Acc No: 2002-435120/200246

XRPX Acc No: N02-342530

Credit limit tracking method for tenors of financial instruments, involves assigning proportional draw down relation between buckets associated with tenors and recalculating proportional draw down relation

Patent Assignee: ICOR BROKERAGE INC (ICOR-N)

Inventor: CHRISS N; GAGNE D; HANDA M; LARSEN J; TARI M J

Number of Countries: 094 Number of Patents: 002

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200225546	A1	20020328	WO 2001US29126	A	20010919	200246	B
AU 200192736	A	20020402	AU 200192736	A	20010919	200252	

Priority Applications (No Type Date): US 2000665305 A 20000919

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
WO 200225546	A1	E	37	G06F-017/60	

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW

AU 200192736 A   G06F-017/60   Based on patent WO 200225546

Abstract (Basic): WO 200225546 A1

NOVELTY - Several buckets are defined, for which several tenors are associated. A proportional draw down relation is assigned between the defined buckets. A **signal** including a trade tenor and a trade amount, associated with a trade action, is received. The proportional draw down relation is recalculated as a function of trade amount and trade tenor, based on the received **signal** .

Bode Akintola24-Feb-04

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the
following:
        (a) Financial instrument trade method;
        (b) Credit limit tracking system
        USE - For **electronic** **trading** of **financial** **instruments** .
        ADVANTAGE - The credit limits for multiple tenors are easily
related by the **users** .
        DESCRIPTION OF DRAWING(S) - The figure shows a schematic diagram of
credit relationship between trading organizations.
        pp; 37 DwgNo 1/11
Title Terms: CREDIT; LIMIT; TRACK; METHOD; FINANCIAL; INSTRUMENT; ASSIGN;
    PROPORTION; DRAW; DOWN; RELATED; BUCKET; ASSOCIATE; PROPORTION; DRAW;
    DOWN; RELATED
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/29   (Item 23 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

014551462   **Image available**
WPI Acc No: 2002-372165/200240
XRPX Acc No: N02-290824
    Electronic anonymous **negotiation and execution of equity block trades
    for institutional** investors **based on trading information entered into
    system by** broker **intermediary** participants
Patent Assignee: SHAW & CO INC D E (SHAW-N); GIANAKOUROS N B (GIAN-I); SHAW
    D E (SHAW-I)
Inventor: GIANAKOUROS N B; **SHAW D E** ; GIANAKOUROS N P
Number of Countries: 097 Number of Patents: 003
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
WO 200227606   A2   20020404 WO 2001US29964 A   20010926 200240 B
US 20020055901 A1   20020509 US 2000234927   A   20000926 200240
                               US 2001962242   A   20010926
AU 200193071   A   20020408 AU 200193071   A   20010926 200252

Priority Applications (No Type Date): US 2000234927 P 20000926; US
    2001962242 A 20010926
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
WO 200227606 A2 E 50 G06F-017/60
    Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
    CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN
    IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ
    PH PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
    Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
    IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
US 20020055901 A1   G06F-017/60   Provisional application US 2000234927

AU 200193071 A   G06F-017/60   Based on patent WO 200227606

Abstract (Basic): WO 200227606 A2
        NOVELTY - After receiving block-size agency orders from
    institutional **clients** , sponsoring **brokers** enter corresponding
    trading **alerts** into the system via web-based **broker** graphical **user**
     interfaces (GUI) and the **clients** monitor and modify trading **alerts**
    via their own GUIs. The system continually evaluates **alerts** for

possible trading opportunities and facilitates manual negotiation or automatic execution if offsetting **alerts** are found, while immediately reporting all resulting **alerts** to **users** and to the consolidated tape.

    DETAILED DESCRIPTION - AN INDEPENDENT CLAIM is included for a computer system for trading financial instruments.

    USE - **Electronic** negotiation and execution of block-size **trades** in **financial instruments** .

    DESCRIPTION OF DRAWING(S) - The drawing shows the system.

    pp; 50 DwgNo 1/5

Title Terms: ELECTRONIC; NEGOTIATE; EXECUTE; BLOCK; BASED; TRADE; INFORMATION; ENTER; SYSTEM; INTERMEDIARY; PARTICIPATING.

Derwent Class: T01; T05

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/30   **(Item 24 from file: 350)**

DIALOG(R)File 350:Derwent WPIX

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014527878   **Image available**

WPI Acc No: 2002-348581/200238

  Apparatus and method for displaying multi-function of cyber securities exchange system

Patent Assignee: SAMSUNG SECURITIES CO LTD (SMSU)

Inventor: PARK J H

Number of Countries: 001 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
KR 2001065033	A	20010711	KR 9959595	A	19991221	200238	B

Priority Applications (No Type Date): KR 9959595 A 19991221

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
KR 2001065033	A		1	G06F-017/60	

Abstract (Basic): KR 2001065033 A

    NOVELTY - An apparatus and a method for displaying multi-function of a cyber securities change system are provided to enable each cyber securities change **user** to rapidly obtain stock information by enabling **users** who confirm data displayed on a notice board of an exclusive-use emulator or each securities firm web page to display evaluation marks estimated.

    DETAILED DESCRIPTION - An exclusive-use emulator or a **web** browser is installed in a plurality of **client** PCs(10(1),....,10(N)) in **order** to perform a cyber **securities transaction** through a communication **network** (20). In case that each **user** selects a notice board among a plurality of menus, a notice board selection **signal** is outputted to a main server(30). A plurality of display data including evaluation marks are inputted from the main server(30). A plurality of **client** PCs(10(1),...,10(N)) display a plurality of display data including the evaluation marks on a notice board window.

    pp; 1 DwgNo 1/10

Title Terms: APPARATUS; METHOD; DISPLAY; MULTI; FUNCTION; SECURE; EXCHANGE; SYSTEM

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

DIALOG(R)File 350:Derwent WPIX

014522369   **Image available**
WPI Acc No: 2002-343072/200238
XRPX Acc No: N02-269823
  Computer trading **system for foreign exchange and** financial
  instrument **, distributes** trade **related information throughout** network
  using canonical path which is optimal route between two nodes
Patent Assignee: EBS NOMINEES LTD (EBSN-N)
Inventor: HOWORKA E; IACCHEO S; JAIN N; NEYMAN V; SHU J
Number of Countries: 001 Number of Patents: 001
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
GB 2366020	A	20020227	GB 20011424	A	20010119	200238	B

Priority Applications (No Type Date): US 2000603498 A 20000623
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
GB 2366020	A		71	G06F-017/60	

Abstract (Basic): GB 2366020 A
      NOVELTY - The order input devices generate price quotation
  messages, and transmits trade related information through a
  communication network. Several nodes (1-7) connected to the network
  distribute trade information throughout the network through canonical
  paths. The canonical path which is the optimal route between two nodes,
  satisfies predetermined conditions.
      DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the
  following:
      (a) **Anonymous** trading system;
      (b) Electronic trading system
      USE - For providing **electronic trading** service for foreign
  exchange and **financial instruments** such as FX spot, FRA, FX
  forward, CFD, short-dated government or central bank check, commercial
  bills, CD, inter bank deposit, commercial paper, interest rate future,
  swap, option and miscellany of tailor-made variants, etc.
      ADVANTAGE - The broker node does not need to know about any broker
  nodes other than its neighbor node, thus broker nodes are easily added
  to or removed from the system. As each broker node maintains a full
  list of order in the market, market views are easily and efficiently
  customized by the trading agents.
      DESCRIPTION OF DRAWING(S) - The figure shows the overview of the
  computer trading system.
      Nodes (1-7)
      pp; 71 DwgNo 1/8
Title Terms: COMPUTER; TRADE; SYSTEM; FOREIGN; EXCHANGE; FINANCIAL;
  INSTRUMENT; DISTRIBUTE; TRADE; RELATED; INFORMATION; NETWORK; CANONICAL;
  PATH; OPTIMUM; ROUTE; TWO; NODE
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
International Patent Class (Additional): G06F-013/38
File Segment: EPI

DIALOG(R)File 350:Derwent WPIX

014481451   **Image available**
WPI Acc No: 2002-302154/200234
  System for transmitting securities through the internet
Patent Assignee: SOFTBRIDGE CO LTD (SOFT-N)
Inventor: EOM M Y; JANG J H
Number of Countries: 001   Number of Patents: 001
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
KR 2001104800 A   20011128 KR 200025893   A   20000515 200234 B

Priority Applications (No Type Date): KR 200025893 A 20000515
Patent Details:
Patent No   Kind Lan Pg   Main IPC   Filing Notes
KR 2001104800 A   1 G06F-017/60

Abstract (Basic): KR 2001104800 A
      NOVELTY - A system for transmitting **securities** through the
    Internet is provided to supply a valuable unit capable of deciding
    transaction or not objectively and promptly and to perform a
    transaction in a **stock** dealings through the **Internet** .
      DETAILED DESCRIPTION - A **client** (2) is a software possessed by an
    investor and may be stored in a PC, or may be stored in additional
    device capable of performing an information process and a
    communication. An information providing server(4) provides information
    related to a stock, specially, stock market conditions information to a
    transmitting medium system(6) through a network as the Internet and is
    a database server of a stock computing system. The transmitting medium
    system(6) transmits the information as the stock market conditions
    information possessed by the information providing server(4) to the
    client (2). An **investor** checks information transmitted to the **client**
    (2) through one's PC monitor and decides a trading or not and may
    request a trading of a specific stock to a server of a security
    corporation by operating an input device of a PC. The **client** (2) may
    include a database(12) storing stock related various information, an
    information processing and analyzing unit(14) for calculating an
    investing time, a trading **signal** generating unit(16), and a trading
    robot(10).
      pp; 1 DwgNo 1/10
Title Terms: SYSTEM; TRANSMIT; SECURE; THROUGH
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

  12/5/33   (Item 27 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

014402704   **Image available**
WPI Acc No: 2002-223407/200228
  Network **-based** trade **system for marketable** securities **having**
  function of reservation selling **and remittance**
Patent Assignee: SAMSUNG SECURITIES CO LTD (SMSU)
Inventor: PARK J H
Number of Countries: 001 Number of Patents: 002
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
KR 2001097399 A   20011108 KR 200021440   A   20000422 200228 B
KR 365198   B   20021216 KR 200021440   A   20000422 200336

Bode Akintola24-Feb-04

Priority Applications (No Type Date): KR 200021440 A 20000422
Patent Details:
Patent No   Kind Lan Pg · Main IPC   Filing Notes
KR 2001097399 A   1 G06F-017/60
KR 365198   B   G06F-017/60   Previous Publ. patent KR 2001097399

Abstract (Basic): KR 2001097399 A
        NOVELTY - A **network** -based **trade** system for marketable
    securities having a function of reservation **selling** and remittance
    is provided to increase the convenience of a **user** by enabling the
    user to send sale price to a plurality of financial institutions on a
    day for payment in case that the **user** **sells** all sorts of
    securities on **network** .
        DETAILED DESCRIPTION - A communication network(10) connects a
    communication line between a plurality of **user** computers(20) and a
    server computer(30). After a plurality of **user** computers(20) connects
    to the server computer(30), the **user** computers(20) output a **user** 's
    request **signal** for selling securities to the server computer(30). In
    addition, a plurality of **user** computers(20) receives and displays a
    securities sale window outputted from the server computer(30) according
    to the **user** 's request. A plurality of **user** computers(20) output
    securities sale data inputted from the **user** to the server
    computer(30). The server computer(30) periodically updates profitable
    information according that a plurality of **users** operate a plurality
    of securities. A plurality of financial institutions(40) sends sale
    money sent from the server computer(30) to a relevant **user** 's account.
        pp; 1 DwgNo 1/10
Title Terms: NETWORK; BASED; TRADE; SYSTEM; MARKET; SECURE; FUNCTION;
  RESERVE; SELL
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

   12/5/34   (Item 28 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

014395434   **Image available**
WPI Acc No: 2002-216137/200227
XRPX Acc No: N02-165633
  **Bid or offer display method for electronic trading system, involves
  displaying bid/offer from primary to secondary trader, when secondary
  trader does not select condition that bids/offers should be made
  unavailable**
Patent Assignee: ESPEED INC (ESPE-N); GILBERT A C (GILB-I); GINSBERG P M
  (GINS-I); LUTNICK H W (LUTN-I)
Inventor: GILBERT A C; GINSBERG P M; LUTNICK H W
Number of Countries: 097 Number of Patents: 006
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
US 20020019799	A1	20020214	US 2000223028	P	20000804	200227	B
			US 2001853430	A	20010510		
WO 200213115	A1	20020214	WO 2001US41525	A	20010802	200227	
AU 200183534	A	20020218	AU 200183534	A	20010802	200244	
EP 1314122	A1	20030528	EP 2001962341	A	20010802	200336	
			WO 2001US41525	A	20010802		
GB 2382902	A	20030611	WO 2001US41525	A	20010802	200339	
			GB 20034529	A	20030227		

Bode Akintola24-Feb-04

KR 2003059090 A 20030707 KR 2003701590 A 20030204 200377

Priority Applications (No Type Date): US 2000223028 P 20000804; US
  2001853430 A 20010510
Patent Details:
Patent No   Kind Lan Pg   Main IPC   Filing Notes
US 20020019799 A1   18 G06F-017/60   Provisional application US 2000223028

WO 200213115 A1 E   G06F-017/60
  Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
  CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN
  IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ
  PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
  Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
  IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
AU 200183534 A   G06F-017/60   Based on patent WO 200213115
EP 1314122   A1 E   G06F-017/60   Based on patent WO 200213115
  Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT
  LI LT LU LV MC MK NL PT RO SE SI TR
GB 2382902   A   G06F-017/60   Based on patent WO 200213115
KR 2003059090 A   G06F-017/60
Abstract (Basic): US 20020019799 A1
     NOVELTY - A bid or offer from a primary trader is received and
  displayed to the secondary trader, when the secondary trader does not
  select the condition that the bids or offers provided by the primary
  trader should be made unavailable.
     DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the
  following:
     (a) System for displaying a bid or offer in an electronic trading
  system;
     (b) System for processing a pending trade
     USE - For displaying bid or offer for **trading   financial
  instruments** , commodities such as **stocks** , **bonds** , currency, oil,
  gold, pork bellies, etc., in an **electronic   trading** system.
     ADVANTAGE - Enables traders to participate in **anonymous** trading
  while monitoring their counter party risk, since the bids are displayed
  based on condition selected by trader.
     DESCRIPTION OF DRAWING(S) - The figure shows a flowchart explaining
  process of configuring trader workstations and processing bids and
  offers.
     pp; 18 DwgNo 4/9
Title Terms: BID; OFFER; DISPLAY; METHOD; ELECTRONIC; TRADE; SYSTEM;
  DISPLAY; BID; OFFER; PRIMARY; SECONDARY; SECONDARY; SELECT; CONDITION;
  BID; OFFER; MADE; UNAVAILABLE
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/35   (Item 29 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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014384979
WPI Acc No: 2002-205682/200226
XRPX Acc No: N02-156651
  System for performing secure and anonymous   transactions **over a**
  network **with a merchant server offering items for sale, a buyer system
  connected to the merchant server by an encrypting** security **server and a
  third delivery server**

Patent Assignee: INCOGNO CORP (INCO-N)
Inventor: BRAGINSKY L; JELLISON D W; MCISAAC J E; ZAND M
Number of Countries: 093   Number of Patents: 002
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
WO 200175744   A1   20011011 WO 2001US10760   A   20010403   200226 B
AU 200155222   A   20011015 AU 200155222   A   20010403   200226

Priority Applications (No Type Date): US 2001273595 P 20010305; US
   2000194346 P 20000403; US 2000251984 P 20001207; US 2000254056 P 20001207
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
WO 200175744 A1 E   55 G06F-017/60
    Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
    CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP
    KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT
    RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
    Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
    IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
AU 200155222 A   G06F-017/60   Based on patent WO 200175744

Abstract (Basic): WO 200175744 A1
        NOVELTY - The merchant and delivery servers are associated with
    vendors and delivery agents and each is provided with the information
    it requires to complete a transaction with a buyer initiated from the
    buyer's system. The security server encrypts and decrypts information
    to ensure security. Only the information needed by each party is
    provided to that party.
        DETAILED DESCRIPTION - A fourth server may be included for delivery
    and payment purposes to ensure that payment reaches the vendor. The
    parties may be identified in the system by hash coding identifying
    indicia.
        INDEPENDENT CLAIMS are included for
        (a) a method for performing secure transactions over a network
        (b) a method for identifying a party over a network
        USE - Performing transactions over, e.g. the Internet.
        ADVANTAGE - Greater security provides greater user confidence.
        pp; 55 DwgNo 0/11
Title Terms: SYSTEM; PERFORMANCE; SECURE; TRANSACTION; NETWORK; MERCHANT;
   SERVE; OFFER; ITEM; SALE; BUY; SYSTEM; CONNECT; MERCHANT; SERVE; SECURE;
   SERVE; THIRD; DELIVER; SERVE
Derwent Class: T01; W01
International Patent Class (Main): **G06F-017/60**
International Patent Class (Additional): H04L-009/00
File Segment: EPI

   12/5/36   (Item 30 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

014383267   **Image available**
WPI Acc No: 2002-203970/200226
   Electronic certificate trading system and control method thereof
Patent Assignee: KIM C H (KIMC-I)
Inventor: KIM C H
Number of Countries: 001   Number of Patents: 002
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
KR 2001096330 A   20011107 KR 200020418   A   20000418   200226 B
KR 368498   B   20030124 KR 200020418   A   20000418   200339

Priority Applications (No Type Date): KR 200020418 A 20000418
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
KR 2001096330 A   1 G06F-017/60
KR 368498   B   G06F-017/60   Previous Publ. patent KR 2001096330

Abstract (Basic): KR 2001096330 A
        NOVELTY - An **electronic** certificate **trading** system and a
     control method thereof are provided to **trade   electronic**
     certificates, such as, an **electronic   stock** , an **electronic** card,
     etc., through **on - line** and off-line in real time all day long.
        DETAILED DESCRIPTION - An input part(101) receives various data
     form an internal manager(10). The first storing part(102) stores a
     user information inputted from a **user** (20). The second storing
     part(103) stores an information of an inputted matter to be invested.
     The third storing part(103) stores other information. A **user**
     identifying part(105) reads a data stored in the first storing
     part(102) and identifies whether the current **user** is a member. The
     first searching part(106) reads a pertinent data stored in the first,
     second, and third storing parts. The fourth storing part(107) stores a
     state that an electronic certificate is traded through on-line and
     off-line. The second searching part(108) reads a data stored in the
     fourth storing part(107) and transfers the result to an off-line trade
     system(200) and the **user** (20). A certifying/paying part(109) receives
     a credit card data from the **user** and performs certification and
     payment. A message output part(110) outputs a pertinent message
     according to a control **signal** . A control part(111) controls
     operations according to a **signal** requested from the **user** (20).
        pp; 1 DwgNo 1/10
Title Terms: ELECTRONIC; CERTIFY; TRADE; SYSTEM; CONTROL; METHOD
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

  12/5/37   (Item 31 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

014334949   **Image available**
WPI Acc No: 2002-155652/200221
XRPX Acc No: N02-118298
  **Networked electronic device for acquiring updated values of e.g. trading
  goods, compares new and old values of good and compares difference with
  user defined threshold, to** alert   user
Patent Assignee: WEBER M (WEBE-I)
Inventor: WEBER M
Number of Countries: 001 Number of Patents: 001
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
DE 10004542   A1   20010809 DE 1004542   A   20000202 200221 B

Priority Applications (No Type Date): DE 1004542 A 20000202
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
DE 10004542   A1   5 G06F-017/60

Abstract (Basic): DE 10004542 A1
        NOVELTY - A microcomputer (3) compares the old values of trading

goods, stored in a memory (5) with the new values and compares the difference against **user** defined threshold received through input unit (6) and **alerts** the **user** depending on the result. The microcomputer periodically updates the memory.

USE - **Networked electronic** device for acquiring updated value of **trading** goods, **stocks** and shares using **Internet** and status data of e.g. personal computer, **electronic** notebook, cordless telephone, television, stationary and mobile radio receivers, pocket calculator, multifunctional device such as refrigerator, microwave appliance.

ADVANTAGE - Since **user** is **alerted** automatically, loss is minimized and also reduces monitoring requirement of values by **user** personally.

DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of the electronic device.

Microcomputer (3)

Memory (5)

Input unit (6)

pp; 5 DwgNo 1/1

Title Terms: ELECTRONIC; DEVICE; ACQUIRE; UPDATE; VALUE; TRADE; GOODS; COMPARE; NEW; VALUE; COMPARE; DIFFER; **USER** ; DEFINE; THRESHOLD; **ALERT** ; **USER**

Derwent Class: T01; W01; W02; W05

International Patent Class (Main): **G06F-017/60**

International Patent Class (Additional): H04M-001/00; H04N-007/08

File Segment: EPI

12/5/38   (Item 32 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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014333959

WPI Acc No: 2002-154662/200220

Related WPI Acc No: 2003-102325

XRPX Acc No: N02-117604

Anonymous trading **system e.g.** electronic **brokerage system for** trading financial instruments **, has credit agent node in storage unit, for storing credit limits for group of logically separated** trading **floors**

Patent Assignee: ELECTRONIC BROKING SERVICES LTD (ELBR-N); EBS NOMINEES LTD (EBSN-N)

Inventor: CRANE A G; GINSBERG P M; HOWORKA E R; IACCHEO S; JAIN N; KRISHNASAMI S; MCPHERSON R S; MEROLD M S; MILLS G D; NEYMAN V; SHU J; HOWORKA E; KRISHNASAMI R; MEROLD M; MILLS G

Number of Countries: 095 Number of Patents: 006

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200201437	A2	20020103	WO 2001IB1468	A	20010622	200220	B
GB 2366023	A	20020227	GB 20011435	A	20010119	200223	
AU 200176634	A	20020108	AU 200176634	A	20010622	200235	
EP 1295234	A1	20030326	EP 2001954294	A	20010622	200323	
			WO 2001IB1468	A	20010622		
ZA 200202217	A	20030827	ZA 20022217	A	20020319	200362	
JP 2004502243	W	20040122	WO 2001IB1468	A	20010622	200411	
			JP 2002506499	A	20010622		

Priority Applications (No Type Date): US 2000602496 A 20000623

Patent Details:

Patent No Kind Lan Pg   Main IPC   Filing Notes

WO 200201437 A2 E 71 G06F-017/60
    Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
    CH CN CO CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS
    JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL
    PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
    Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
    IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
GB 2366023   A   G06F-017/60
AU 200176634 A   G06F-017/60   Based on patent WO 200201437
EP 1295234   A1 E   G06F-017/60   Based on patent WO 200201437
    Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT
    LI LT LU LV MC MK NL PT RO SE SI TR
ZA 200202217 A   72 G06F-000/00
JP 2004502243 W   105 G06F-017/60   Based on patent WO 200201437
Abstract (Basic): WO 200201437 A2
        NOVELTY - A storage unit stores credit limits available for traders
    between a trading floor or group of trading floors and possible
    counterparty trading floors or groups of trading floors. A credit agent
    node of the storage unit stores credit limits for a group of logically
    separated trading floors.
        DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for
    automated trading system.
        USE - **Anonymous   trading** system e.g. **electronic** brokerage
    system for use in **trading   financial   instruments** such as foreign
    exchange and forward rate agreements, short-dated government and/or
    central bank paper, commercial bills, CDs, inter-bank deposits,
    commercial paper, repos, interest-rate futures, swaps, options and
    various tailor-made variants.
        ADVANTAGE - The use of a credit agent node enables credit for an
    institution to be handled globally, and provides greater flexibility,
    and assists in the full utilization of available credit limits during
    the course of a trading day.
        pp; 71 DwgNo 0/11
Title Terms: TRADE; SYSTEM; ELECTRONIC; SYSTEM; TRADE; FINANCIAL;
  INSTRUMENT; CREDIT; AGENT; NODE; STORAGE; UNIT; STORAGE; CREDIT; LIMIT;
  GROUP; LOGIC; SEPARATE; TRADE; FLOOR
Derwent Class: T01
International Patent Class (Main): G06F-000/00; **G06F-017/60**
File Segment: EPI

 12/5/39   (Item 33 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

014309345   **Image available**
WPI Acc No: 2002-130048/200217
XRPX Acc No: N02-098093
    Trade   orders **transmitting method for** stocks **and currencies,**
  involves transmitting trade   order **to market place** automatically
  through online   trading **account, based on** trade **decision generated**
  by market analysis software
Patent Assignee: GLADSTONE G D (GLAD-I)
Inventor: GLADSTONE G D
Number of Countries: 001 Number of Patents: 001
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
US 20020004776 A1   20020110 US 2000216812   P   20000707 200217 B
                              US 2000222558   P   20000803
                              US 2001884303   A   20010619

Bode Akintola24-Feb-04

Priority Applications (No Type Date): US 2001884303 A 20010619; US
  2000216812 P 20000707; US 2000222558 P 20000803
Patent Details:
Patent No   Kind Lan Pg   Main IPC   Filing Notes
US 20020004776 A1   9 G06F-017/60   Provisional application US 2000216812

                                        Provisional application US 2000222558

Abstract (Basic): US 20020004776 A1
        NOVELTY - The trade **trigger** criteria and the market data are
    received from **user** by a market analysis software (26). A trade
    decision is generated using the trade **trigger** criteria and the market
    data by accessing the market analysis software. A trade order is
    automatically transmitted to a market place (17) through online trading
    account (14), based on the trade decision.
        DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for
    automated system of transmitting trade orders to market place.
        USE - For **trading financial instruments** such as **securities ,
    stocks , bonds** and currencies through **online trading** account
    with financial institution.
        ADVANTAGE - Avoids time delays between trade decision and trade
    execution by automatically converting the trade decision to a trade
    order, thereby reducing undesirable results due to adverse market price
    changes. Provides a fail-safe substitute for a **trader** self discipline
    by automating entry of trade orders.
        DESCRIPTION OF DRAWING(S) - The figure shows the symbolic diagram
    of trade orders transmitting system.
        Online trading account (14)
        Market place (17)
        Market analysis software (26)
        pp; 9 DwgNo 1/1
Title Terms: TRADE; ORDER; TRANSMIT; METHOD; STOCK; TRANSMIT; TRADE; ORDER;
  MARKET; PLACE; AUTOMATIC; THROUGH; TRADE; ACCOUNT; BASED; TRADE; DECIDE;
  GENERATE; MARKET; ANALYSE; SOFTWARE
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/40   (Item 34 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

014301654   **Image available**
WPI Acc No: 2002-122358/200216
XRPX Acc No: N02-091779
  **Displaying investment trading trends by calculating opening and closing
  value trends and displaying colors for time intervals based on** user
  profile
Patent Assignee: STOCK DECISION SOFTWARE CO INC (STOC-N); THOMPSON G W
  (THOM-I)
Inventor: THOMPSON G W
Number of Countries: 095 Number of Patents: 003
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200199015	A2	20011227	WO 2001US19838	A	20010622	200216	B
US 20020026404	A1	20020228	US 2000213576	P	20000622	200220	
			US 2001888040	A	20010623		
AU 200170038	A	20020102	AU 200170038	A	20010622	200230	

Priority Applications (No Type Date): US 2000213576 P 20000622; US
  2001888040 A 20010623
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
WO 200199015 A2 E 42 G06F-017/60
  Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
  CH CN CO CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS
  JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL
  PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
  Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
  IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
US 20020026404 A1   G06F-017/60   Provisional application US 2000213576

AU 200170038 A   G06F-017/60   Based on patent WO 200199015

Abstract (Basic): WO 200199015 A2
     NOVELTY - Method consists in receiving investment opening and
closing values for different time intervals, calculating the opening an
closing value trends and displaying an indicator comparing them as one
color when the closing value trend is greater than the opening value
trend and another when the opposite occurs.
     DETAILED DESCRIPTION - The indicator displays the time interval and
the trends can be shown as lines in a graph. The trend indicator is
regression algorithms such as stochastics, relative strength,
exponential weighted average, Bollinger Bands, commodity channel index
etc. A trade is executed for the investment with calculation of
potential tax liability.
     There are INDEPENDENT CLAIMS for (1) a computer program, (2) an
apparatus for displaying investment trading trends.
     USE - Method is for displaying a two line crossover method
signaling   stocks , bonds and commodities **buying** and **selling**
opportunities in **electronic   trading** .
     ADVANTAGE - Method analyzes market data and develops trade
information to reduce risk and loss for the **investor** and extrapolates
trends to provide the **investor** with current price information,
indicators, long and short positions etc.
     DESCRIPTION OF DRAWING(S) - The figure shows the possible
interaction between data systems.
     pp; 42 DwgNo 1/13
Title Terms: DISPLAY; INVESTMENT; TRADE; TREND; CALCULATE; OPEN; CLOSE;
  VALUE; TREND; DISPLAY; COLOUR; TIME; INTERVAL; BASED; **USER** ; PROFILE
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/41   (Item 35 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

014226737   **Image available**
WPI Acc No: 2002-047435/200206
  **Apparatus and method for game of actual stock of cyber stock transaction
  system**
Patent Assignee: SAMSUNG SECURITIES CO LTD (SMSU)
Inventor: PARK J H
Number of Countries: 001 Number of Patents: 002
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
KR 2001056499 A   20010704 KR 9957975   A   19991215 200206 B

KR 345919   B   20020727 KR 9957975   A   19991215 200309

Priority Applications (No Type Date): KR 9957975 A 19991215
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
KR 2001056499 A   1 G06F-019/00
KR 345919   B   G06F-017/60   Previous Publ. patent KR 2001056499

Abstract (Basic): KR 2001056499 A
      NOVELTY - An apparatus and method for a game of an actual stock of
   a cyber stock transaction system is provided to decide a rank according
   to a **user** and to award per a fixed period through an earning rate of
   an actual stock transaction and a percentage of victories by adding an
   actual stock game function in a cyber stock transaction.
      DETAILED DESCRIPTION - An exclusive emulator or a **web** browser is
   installed for making a plurality of **client** PCs(10(1),.., 10(N))
   perform a cyber **stock** **transaction** through a communication **network**
   (20). If each **user** connects to a **security**0 corporation by the
   exclusive emulator or a **web** browser selects an actual stock game, an
   actual stock game window is displayed and an actual stock game
   selection key **signal** is outputted to a main server(30). In addition,
   an earning rate and a percentage of victories data and a notice board
   data are received from the main server(30) up to the current time in
   accordance with the actual stock game selection key **signal** , and the
   earning rate and the percentage are displayed on the actual stock game
   window. The **client** PCs(10(1),.., 10(N)) output the corresponding data
   to the main server(30) when stock related data are registered by the
   user . The communication **network** (20) connects to the **client**
   PCs(10(1),.., 10(N)), the main server(30) and a **stock** exchange
   computer system for a real time **stock** **transaction** .
      pp; 1 DwgNo 1/10
Title Terms: APPARATUS; METHOD; GAME; ACTUAL; STOCK; STOCK; TRANSACTION;
   SYSTEM
Derwent Class: T01
International Patent Class (Main): **G06F-017/60** ; G06F-019/00
File Segment: EPI

 12/5/42   (Item 36 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

014196461   **Image available**
WPI Acc No: 2002-017158/200202
XRPX Acc No: N02-013797
  Identification document generating and ordering system using Internet,
  provides facsimile of draft identification document to user **and**
  receives job acceptance signal **from** user
Patent Assignee: VRAIN K C S (VRAI-I)
Inventor: VRAIN K C S
Number of Countries: 001 Number of Patents: 001
Patent Family:
Patent No   Kind   Date   Applicat No   Kind Date   Week
US 20010037309 A1   20011101 US 2000179355   A   20000131 200202 B
                              US 2001774762   A   20010131

Priority Applications (No Type Date): US 2000179355 P 20000131; US
   2001774762 A 20010131
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes

Abstract (Basic): US 20010037309 A1
        NOVELTY - A service bureau (112) retrieves demographic data,
    graphical representation and identification document design data from
    databases (120,122) in response to the paid-in-full and **user**
    verification **signals** from modules (110,126) and produces a draft
    identification document. A module (124) transmits a facsimile of the
    document to the **user** over a network and in turn receives a job
    acceptance **signal** .
        DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for
    customized identification document ordering method.
        USE - For generating and **ordering** an identification document such
    as identification cards, badges or larger documents such as .passport
    over a **network** such as **Internet** for **security** applications.
        ADVANTAGE - Data relating to the age or birth date of the **user** is
    not printed on the identification document, thus the illegitimate
    users attempting to obtain the documents are avoided. Regular
    identification·badge stock is used and the type of stock is not
    typically preprinted and is cheaper than preprint identification badge
    stock. The cost of the document is reduced and the service bureau
    automatically generates e-mail address to the **user** when the badges
    are ready.
        DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of
    identification document specification and production system.
        Payment module (110)
        Service bureau (112)
        Demographic and picture data database (120)
        Identification document design data database (122)
         User approval module (124)
         User verification module (126)
        pp; 24 DwgNo 1/10
Title Terms: IDENTIFY; DOCUMENT; GENERATE; ORDER; SYSTEM; FACSIMILE; DRAFT;
  IDENTIFY; DOCUMENT; **USER** ; RECEIVE; JOB; ACCEPT; **SIGNAL** ; **USER**
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/43   (Item 37 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

014185618   **Image available**
WPI Acc No: 2002-006315/200201
·XRPX Acc No: N02-005405
  Internet based shopping system performs sale of goods to client **when**
  keyword alerted **to** client **is answered**
Patent Assignee: NEC CORP (NIDE)
Number of Countries: 001 Number of Patents: 001
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
JP 2001283121	A	20011012	JP 200089163	A	20000328	200201	·B

Priority Applications (No Type Date): JP 200089163 A 20000328
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
JP 2001283121	A		9	G06F-017/60	

Abstract (Basic): JP 2001283121 A

NOVELTY - An acquisition unit (13) in a server (1) acquires the telephone number of a **client** (8) through internet (6). The server places a telephone call to the acquired number to **alert** a keyword to the **client** and provides sale of goods or a service to the **client** when the **alerted** keyword is answered by the **client** .
DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:
(a) Server;
(b) **Client** terminal
USE - For performing sale of goods through internet.
ADVANTAGE - Since goods sale is performed to the **client** only if the **alerted** keyword is answered, the **security** in **electronics** commercial **transaction** is improved.
DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of an internet based shopping system. (Drawing includes non-English language text).
Server (1)
Internet (6)
Client (8)
Acquisition unit (13)
pp; 9 DwgNo 1/4
Title Terms: BASED; SHOPPING; SYSTEM; PERFORMANCE; SALE; GOODS; **CLIENT** ;
KEYWORD; **ALERT** ; **CLIENT** ; ANSWER
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

12/5/44   (Item 38 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

013991698
WPI Acc No: 2001-475913/200151
XRPX Acc No: N01-352253
  Method of executing transaction in computerized system by enabling
  order-receiving parties to designate other parties for re-brokering ...
Patent Assignee: XBOND CORP (XBON-N)
Inventor: HUGHES W
Number of Countries: 092 Number of Patents: 002
Patent Family:
Patent No   Kind   Date   Applicat No   Kind   Date   Week
WO 200148668   A1   20010705 WO 2000US35492 A   20001228   200151 B
AU 200127415   A   20010709 AU 200127415   A   20001228   200164

Priority Applications (No Type Date): US 2000706678 A 20001106; US 99173581
  P 19991229; US 2000178049 P 20000124; US 2000201599 P 20000503
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
WO 200148668 A1 E 109 G06F-017/60
  Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
  CH CN CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE
  KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO
  RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
  Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
  IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
AU 200127415 A   G06F-017/60   Based on patent WO 200148668

Abstract (Basic): WO 200148668 A1
        NOVELTY - Method consists in allowing the parties receiving the

Bode Akintola24-Feb-04

order to designate other parties by allowing them to communicate offers
or bids for financial instruments, determining whether a match occurs
on orders from two parties and executing the transaction. The first
ordering party can select whether the order is a live executable order
or a subject order. A list of parties is stored in memory using a set
of rules.
DETAILED DESCRIPTION - There is an INDEPENDENT CLAIM for a
computerized trading system.
USE - Method is for **anonymous trading** over e.g. the **Internet**
through systematic use of broker-dealers and is for **trading bonds** ,
currencies, fixed income **securities** etc.
ADVANTAGE - Method enhances the roles of broker-dealers in
securities trading systems, supports **anonymous trading** and
automatically rebrokers **orders** by broker-dealers.
pp; 109 DwgNo 0/19
Title Terms: METHOD; EXECUTE; TRANSACTION; SYSTEM; ENABLE; ORDER; RECEIVE;
  PARTY; DESIGNATED; PARTY
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

12/5/45   (Item 39 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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013980339   **Image available**
WPI Acc No: 2001-464553/200150
XRPX Acc No: N01-344548
   Automated **order and share matching method in equity** trading **system,**
  involves determining price of cross transaction **, if any market** order
  matches with one indication of interest to purchase or sell **desired**
  stock
Patent Assignee: SALOMON SMITH BARNEY INC (SALO-N)
Inventor: HARTS W R; MOORE R E
Number of Countries: 091 Number of Patents: 003
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200104817	A1	20010118	WO 2000US18673	A	20000707	200150	B
AU 200062072	A	20010130	AU 200062072	A	20000707	200150	
EP 1208508	A1	20020529	EP 2000948597	A	20000707	200243	
			WO 2000US18673	A	20000707		

Priority Applications (No Type Date): US 99352303 A 19990712; US 99143258 P
  19990709
Patent Details:

Patent No	Kind Lan Pg	Main IPC	Filing Notes
WO 200104817	A1 E 26	G06F-017/60	

   Designated States (National): AE AL AM AT AU AZ BA BB BG BR BY CA CH CN
   CR CU CZ DE DK DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP
   KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE
   SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
   Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
   IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW

AU 200062072	A	G06F-017/60	Based on patent WO 200104817
EP 1208508	A1 E	G06F-017/60	Based on patent WO 200104817

   Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT
   LI LT LU LV MC MK NL PT RO SE SI

Abstract (Basic): WO 200104817 A1

NOVELTY - Received market orders are checked for contra-transaction of desired stock of specific entity. If matching of any of the market orders for desired stock of particular entity is evaluated with at least one indication of interest received to purchase or sell the desired stock based on preset criteria, a price for created cross transaction is determined.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

(a) Automated system for matching **customer** equity buy and sell orders;

(b) Computerized system to manage working orders;

(c) Computerized method to manage working orders

USE - For matching orders to buy and sell stock shares in equity trading system.

ADVANTAGE - Provides a transaction price which splits spread preferably equal between buying and selling **client** , hence provides price improvement for **clients** and eliminates exchange fees and **broker** communications associated with trade on floor of exchange. Enables tracking national best price over several national exchanges, to determine transaction price for **traders** . Keeps track of whether a large market order is fulfilled during a trading day and automatically generates an indication or **signal** , to execute portion of transaction on exchange floor at preselected times, when insufficient number of matching transactions are made available. Facilitates interaction of retail and institutional **client** order flow and provides price improvement. Allows a **brokerage** house to capitalize on its large order flow of retail and institutional orders.

DESCRIPTION OF DRAWING(S) - The figure shows schematic representation of equity trading system.

pp; 26 DwgNo 1/3

Title Terms: AUTOMATIC; ORDER; SHARE; MATCH; METHOD; TRADE; SYSTEM; DETERMINE; PRICE; CROSS; TRANSACTION; MARKET; ORDER; MATCH; ONE; INDICATE ; INTEREST; PURCHASE; SELL; STOCK

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/46   (Item 40 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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013974796   **Image available**

WPI Acc No: 2001-459009/200150

XRPX Acc No: N01-340325

Anonymous trading **method of** securities **over crossing** network , **involves generating synthetic profile and matching it with contra side profile for facilitating a** trade

Patent Assignee: OPTIMARK INC (OPTI-N)

Inventor: ATCHISON D; FABISZAK C M; LUPIEN W A; RICHARD J T; SMIGEL M

Number of Countries: 026 Number of Patents: 001

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
EP 1118953	A2	20010725	EP 2001200200	A	20010119	200150	B

Priority Applications (No Type Date): US 2000489769 A 20000121

Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
EP 1118953	A2	E	70	G06F-017/60	

Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT

LI LT LU LV MC MK NL PT RO SE SI TR

Abstract (Basic): EP 1118953 A2
    NOVELTY - Buy and sell orders in the form of profiles including one
price and quantity coordinate that associates a preference value, are
received for a particular security. A synthetic profile generated from
available quantities in the profiles at each price and the preference
value, is matched with a contra side profile for facilitating a trade.
    USE - For **anonymous** **trading** of **securities** including assets
such as futures, derivatives, options, **bonds** , currencies,
commodities, insurance contracts, etc., over **anonymous** and
confidential crossing **network** that matches **buy** and **sell** **orders**
of traders or institutional investors. Also for trading media time,
airline tickets, concert tickets, **electronic** components or any
contract for goods or services.
    ADVANTAGE - Allows traders to input satisfaction density profile
and maximum size limit which characterizes trader's degree of
satisfaction to trade at any and all prices and sizes, and that matches
orders, hence each trader is assured that the overall outcome of
process in terms of average size and price, has maximized the mutual
satisfaction of all traders.
    DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of
anonymous matching system.
    pp; 70 DwgNo 1/25
Title Terms: TRADE; METHOD; SECURE; CROSS; NETWORK; GENERATE; SYNTHETIC;
  PROFILE; MATCH; CONTRA; SIDE; PROFILE; FACILITATE; TRADE
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

12/5/47   (Item 41 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

013963194   **Image available**
WPI Acc No: 2001-447408/200148
XRPX Acc No: N01-331053
  **Dealing order automatic order device for use in market place, makes an
  order when all** triggers **set and stored based on dealing conditions**
  input by customer **, coincide with transaction situation in market place**
Patent Assignee: NIPPON ONLINE SHOKEN KK (NION-N); KABU.COM SHOKEN KK
  (KABU-N)
Number of Countries: 001 Number of Patents: 002
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
JP 2001155086	A	20010608	JP 2000277623	A	20000913	200148	B
JP 2004005554	A	20040108	JP 2000277623	A	20000913	200405	
			JP 2003101423	A	20030404		

Priority Applications (No Type Date): JP 99260084 A 19990914
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
JP 2001155086	A		10	G06F-017/60	
JP 2004005554	A		11	G06F-017/60	Div ex application JP 2000277623

Abstract (Basic): JP 2001155086 A
    NOVELTY - **Trigger** setting unit sets up the order conditions of
the dealing as a **trigger** based on dealing conditions input by a
customer and stores **trigger** in a memory (14). The **trigger** is
monitor for its coincidence with the transaction situation in the

market place (60). A processor (17) makes an order when all the **triggers** coincide with the transaction situation.

DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the following:

(a) Automatic dealing order system;

(b) Automatic dealing order procedure

USE - For use in market place for an order of dealing such as securities, stock, debenture.

ADVANTAGE - As the dealing **order** is made **automatically** based on stored **triggers** , a systematic response is attained for **stock** , purchase **order** process. The manual labor is eliminated and **security** of **transaction** is improved.

DESCRIPTION OF DRAWING(S) - The figure shows the dealing order automatic order system with the dealing order automatic order device. (Drawing includes non-English language text).

Memory (14)

Processor (17)

Market place (60)

pp; 10 DwgNo 1/8

Title Terms: DEAL; ORDER; AUTOMATIC; ORDER; DEVICE; MARKET; PLACE; ORDER; **TRIGGER** ; SET; STORAGE; BASED; DEAL; CONDITION; INPUT; **CUSTOMER** ; COINCIDE; TRANSACTION; SITUATE; MARKET; PLACE

Derwent Class: T01

International Patent Class (Main): **G06F-017/60**

File Segment: EPI

12/5/48   (Item 42 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

013963190   **Image available**
WPI Acc No: 2001-447404/200148
XRPX Acc No: N01-331049
  Cyber security transaction **system controls display of** web **page of**
  applicable enterprise in preset area of applicable menu screen of client
   when specific enterprise name is selected from displayed enterprise
  names
Patent Assignee: THREE STAR SECURITIES CO LTD (THRE-N); SAMSUNG SECURITIES
  CO LTD (SMSU)
Inventor: PARK J H; SUNG N H; SEONG N H
Number of Countries: 002 Number of Patents: 003
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
JP 2001155080	A	20010608	JP 20006002	A	20000107	200148	B
KR 2001047595	A	20010615	KR 9951892	A	19991122	200170	
KR 315099	B	20011124	KR 9951892	A	19991122	200245	

Priority Applications (No Type Date): KR 9951892 A 19991122
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
JP 2001155080	A		18	G06F-017/60	
KR 2001047595	A			G06F-017/60	
KR 315099	B			G06F-017/60	Previous Publ. patent KR 2001047595

Abstract (Basic): JP 2001155080 A
     NOVELTY - **Client** computers (10(1)-10(n)) are connected to
  computing system (40) and main server (30) through **network** (20) for
  stock **transaction** . **Stock** related data for each **client**
  advertisement data of each enterprise are stored in server. When menu

item selecting **signal** of specific enterprise name in displayed
multiple enterprise names is input, display of web page of applicable
enterprise in preset area of applicable menu screen of **client**
computer is controlled.
    DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for
institutional advertising procedure.
    USE - For **online** **stock** **transactions** through computer **network**
such as **internet** .
    ADVANTAGE - As enterprise information of enterprise desired by the
user is provided quickly and correctly and **online** to the **users** on
the menu screen of **user** computer, cyber **security** **transaction**
system is improved.
    DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of
cyber security transaction system. (Drawing includes non-English
language text).
    -10(n)) **Client** computers (10(1)
    Network (20)
    Main server (30)
    Computing system (40)
    pp; 18 DwgNo 1/8
Title Terms: SECURE; TRANSACTION; SYSTEM; CONTROL; DISPLAY; WEB; PAGE;
  APPLY; PRESET; AREA; APPLY; MENU; SCREEN; **CLIENT** ; SPECIFIC; NAME;
  SELECT; DISPLAY; NAME
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
International Patent Class (Additional): G06F-017/30
File Segment: EPI

12/5/49   **(Item 43 from file: 350)**
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

013948202   **Image available**
WPI Acc No: 2001-432416/200146
XRPX Acc No: N01-320476   .
  Internet oriented transaction method involves executing trade defined by
  buying-selling order indications which are invisible to other market
  participants
Patent Assignee: SHAW & CO INC D E (SHAW-N)
Inventor: GIANAKOUROS N P; **SHAW D E**
Number of Countries: 092 Number of Patents: 002
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200122339	A2	20010329	WO 2000US26299	A	20000925	200146	B
AU 200076130	A	20010424	AU 200076130	A	20000925	200147	

Priority Applications (No Type Date): US 2000565444 A 20000505; US 99155643
  P 19990924
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
WO 200122339	A2	E	97	G06F-017/60	

    Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY CA CH
    CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE
    KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO
    RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
    Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
    IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW
AU 200076130 A   G06F-017/60 Based on patent WO 200122339

Abstract (Basic): WO 200122339 A2
        NOVELTY - Indications for buying and selling security orders at
    non-discrete prices found using national best bid offer (NBBO) data,
    submitted by retail customers (210), are routed to routing system (230)
    through Internet (220). A request is sent by routers (120-1) to execute
    customer-customer trade by central order match box (COMB) (110) by
    matching buying and selling orders, invisible to other market
    participants.
        DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the
    following:
        (a) Continuous securities buying and selling program;
        (b) Continuous securities transaction system;
        (c) Dynamic order router for continuous interaction of retail
    orders;
        (d) Crossing network for continuous interaction;
        (e) Computer system
        USE - For continuous interaction of marketable retail **security
    orders** between traders and investors, through **Internet** in pension
    fund and mutual fund issuing companies.
        ADVANTAGE - Facilitates **automated** , continuous, fully **electronic
    , anonymous** , non-display based interaction between professional
    market participants and retail marketable **order** without waiting for
    set times. Provides the financial **securities** to clients at
    predetermined non-discrete prices.
        DESCRIPTION OF DRAWING(S) - The figure shows the block diagram of
    system for buying and selling instruments through network.
        COMB (110)
        Router (120-1)
        Customer (210)
        Internet (220)
        Routing system (230)
        pp; 97 DwgNo 2/5
Title Terms: ORIENT; TRANSACTION; METHOD; EXECUTE; TRADE; DEFINE; BUY; SELL
 ; ORDER; INDICATE; INVISIBLE; MARKET; PARTICIPATING
Derwent Class: T01; T05
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/50   (Item 44 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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013890754   **Image available**
WPI Acc No: 2001-374967/200139
XRPX Acc No: N01-274361
   Individual trading **computer for** automatically trading **investment
   items such as** stocks **, options, contracts, metals, and/or etc. has**
   trading **interface that sends** trade **request** signal **to individual**
   selected market trader
Patent Assignee: AUTOMATED BUSINESS CO (AUTO-N); FREENY C C (FREE-I)
Inventor: FREENY C C
Number of Countries: 090 Number of Patents: 004
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200141006	A1	20010607	WO 99US29324	A	19991209	200139	B
AU 200019380	A	20010612	AU 200019380	A	19991209	200154	
US 6594643	B1	20030715	US 97970769	A	19971114	200348	
			US 99451643	A	19991130		
US 20030200169	A1	20031023	US 97970769	A	19971114	200370	

US 99451643   A   19991130
US 2003455701   A   20030605

Priority Applications (No Type Date): US 99451643 A 19991130; US 97970769 A
    19971114; US 2003455701 A 20030605
Patent Details:
Patent No   Kind Lan Pg   Main IPC   Filing Notes
WO 200141006 A1 E 31 G06F-017/60
    Designated States (National): AE AL AM AT AU AZ BA BB BG BR BY CA CH CN
    CR CU CZ DE DK DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP
    KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE
    SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
    Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
    IE IT KE LS LU MC MW NL OA PT SD SE SL SZ TZ UG ZW
AU 200019380 A   G06F-017/60   Based on patent WO 200141006
US 6594643   B1   G06F-017/60   CIP of application US 97970769
US 20030200169 A1   G06F-017/60   CIP of application US 97970769
                                     Cont of application US 99451643
                                     Cont of patent US 6594643

Abstract (Basic): WO 200141006 A1
        NOVELTY - A computer (16) automatically analyzes an investment data
    with a set trading criteria. The computer automatically outputs via an
    trading interface (18) a trade request **signal** (TRS) using a
    communication link (32) to an individual selected market **trader** (28)
    selected by the individual in response to the analysis determining that
    the item should be traded.
        DETAILED DESCRIPTION - An INDEPENDENT CLAIM is included for:
        (a) a method for automatically trading investment items based on
    given conditions
        USE - For **automatically trading** investment items based on set
    conditions. The investment items could be **stocks** , options, contracts,
    metals, and/or a number of other investment items, for example.
        ADVANTAGE - Excludes requirement for matching the exact criteria
    for a trade when traded manually. Provides a close watch of market data
    for a number of indications be exactly maintained while excluding
    boredom, interruptions, mis-readings, etc. leading to poor or losing
    trade executions. Monitors gradually change and require criteria or
    algorithm methodology alterations.
        DESCRIPTION OF DRAWING(S) - The drawing is a schematic diagrammatic
    view of a system for automatically trading investment items operating
    in accordance with the present invention.
        computer (16)
        trading interface (18)
        market **trader** (28)
        communication link (32)
        pp; 31 DwgNo 1/5
Title Terms: INDIVIDUAL; TRADE; COMPUTER; AUTOMATIC; TRADE; INVESTMENT;
    ITEM; STOCK; OPTION; CONTRACT; METAL; TRADE; INTERFACE; SEND; TRADE;
    REQUEST; **SIGNAL** ; INDIVIDUAL; SELECT; MARKET
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

 12/5/51   (Item 45 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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013844497   **Image available**
WPI Acc No: 2001-328710/200134

                    Bode Akintola24-Feb-04

Internet -based investment advice providing system for financial
planners, has trade advisor component proposing securities
transactions , based on comparison of portfolio information with bench
mark by asset allocator
Patent Assignee: UPSTREAM TECHNOLOGIES LLC (UPST-N)
Inventor: HOFFMAN M; MCRAE D A; SAMUELSON P; SCHULMAN E; WALKER J L
Number of Countries: 093   Number of Patents: 003
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200131538	A1	20010503	WO 2000US29450	A	20001025	200134	B
AU 200114389	A	20010508	AU 200114389	A	20001025	200149	
GB 2373355	A	20020918	WO 2000US29450	A	20001025	200263	
			GB 200212060	A	20020524		

Priority Applications (No Type Date): US 99161258 P 19991025
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
WO 200131538	A1	E	98	G06F-017/60	

Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP
KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT
RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW

AU 200114389	A			G06F-017/60	Based on patent WO 200131538
GB 2373355	A			G06F-017/60	Based on patent WO 200131538

Abstract (Basic): WO 200131538 A1
    NOVELTY - The **client** can access portfolio data concerning
securities, portfolio identified by database. Servers (38,50) coupled
to portfolio database (58), hosts trade advisor component which has an
asset allocator component. Trade advisor component proposes securities
transactions to **client** , based on comparison of portfolio information
by asset allocator with a bench mark.
    DETAILED DESCRIPTION - A server computer hosts investment advice
service accessible by **client** via **client** computers. The database
operatively coupled to the server computer, identifies the number of
portfolios and maintains portfolio information associated with the
security portfolios. The investment advice service is available via a
computer network to assist a **client** in managing a securities
portfolio identified by the database. INDEPENDENT CLAIMS are also
included for the following:
    (a) Computerized investment advice providing method;
    (b) Recording medium;
    (c) Graphical **user** interface;
    (d) Computer data **signal** ;
    (e) Computer memory
    USE - For providing investment advice and managing securities
portfolios for **clients** , such as individual **investors** or financial
planners, over Internet.
    ADVANTAGE - Provides clear, easy-to-comprehend advice, customized
to the **user** as to that **user** 's portfolio holdings, tax position and
risk profile at the time the **user** is receiving his/her portfolio
and/or considering making a transaction. The application program
interface (API) of the system architecture provides for integration of
this system with the existing applications, thus providing
extensibility of the system.
    DESCRIPTION OF DRAWING(S) - The figure shows the Internet-based
investment advice providing system.

```
           Server computers (38,50)
           Portfolio database (58)
           pp; 98 DwgNo 1/20
Title Terms: BASED; INVESTMENT; ADVICE; SYSTEM; FINANCIAL; TRADE; COMPONENT
  ; SECURE; TRANSACTION; BASED; COMPARE; PORTFOLIO; INFORMATION; BENCH;
  MARK; ALLOCATE
Derwent Class: T01
International Patent Class (Main): G06F-017/60
File Segment: EPI


  12/5/52      (Item 46 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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013831975    **Image available**
WPI Acc No: 2001-316187/200133
XRPX Acc No: N01-227300
   Stock   trading  method in  electronic   trading  system involves
  executing  trade  if there is no better  trade  in  stock   order
  originating from outside system for either primary party or counter,party
Patent Assignee: BLOOMBERG LP (BLOO-N)
Inventor: BANG K; FOLEY K
Number of Countries: 094  Number of Patents: 005
Patent Family:
Patent No       Kind   Date      Applicat No    Kind    Date       Week
WO 200125996    A1    20010412  WO 2000US26866  A     20000929   200133  B
AU 200078400    A     20010510  AU 200078400    A     20000929   200143
BR 200014509    A     20020611  BR 200014509    A     20000929   200248
                                WO 2000US26866  A     20000929
EP 1226535      A1    20020731  EP 2000968497   A     20000929   200257
                                WO 2000US26866  A     20000929
JP 2003511759   W     20030325  WO 2000US26866  A     20000929   200330
                                JP 2001528882   A     20000929

Priority Applications (No Type Date): US 99412408 A 19991005
Patent Details:
Patent No  Kind Lan Pg   Main IPC    Filing Notes
WO 200125996  A1 E  41 G06F-017/60
   Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
   CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP
   KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT
   RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
   Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
   IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW
AU 200078400  A         G06F-017/60    Based on patent WO 200125996
BR 200014509  A         G06F-017/60    Based on patent WO 200125996
EP 1226535    A1 E      G06F-017/60    Based on patent WO 200125996
   Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT
   LI LT LU LV MC MK NL PT RO SE SI
JP 2003511759 W     49 G06F-017/60    Based on patent WO 200125996

Abstract (Basic): WO 200125996 A1
      NOVELTY - Offering is made by a primary party to buy or sell
   selected number of shares at selected price from or to selected counter
   parties. Both parties agree to trade up to an agreed number of shares
   of stock on agreed price. The trade is executed if there is no better
   trade in stock order originating from outside the system for either of
   the parties otherwise better trade is executed.
      DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the
   following:
```

    Internet -based investment advice providing system for financial
    planners, has trade **advisor component proposing** securities
    transactions , **based on comparison of portfolio information with bench
    mark by asset allocator**
Patent Assignee: UPSTREAM TECHNOLOGIES LLC (UPST-N)
Inventor: HOFFMAN M; MCRAE D A; SAMUELSON P; SCHULMAN E; WALKER J L
Number of Countries: 093 Number of Patents: 003
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200131538	A1	20010503	WO 2000US29450	A	20001025	200134	B
AU 200114389	A	20010508	AU 200114389	A	20001025	200149	
GB 2373355	A	20020918	WO 2000US29450	A	20001025	200263	
			GB 200212060	A	20020524		

Priority Applications (No Type Date): US 99161258 P 19991025
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
WO 200131538	A1	E	98	G06F-017/60	

    Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
    CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP
    KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT
    RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
    Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
    IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW

Patent No	Kind		IPC	Notes
AU 200114389	A		G06F-017/60	Based on patent WO 200131538
GB 2373355	A		G06F-017/60	Based on patent WO 200131538

Abstract (Basic): WO 200131538 A1
        NOVELTY - The **client** can access portfolio data concerning
    securities, portfolio identified by database. Servers (38,50) coupled
    to portfolio database (58), hosts trade advisor component which has an
    asset allocator component. Trade advisor component proposes securities
    transactions to **client** , based on comparison of portfolio information
    by asset allocator with a bench mark.
        DETAILED DESCRIPTION - A server computer hosts investment advice
    service accessible by **client** via **client** computers. The database
    operatively coupled to the server computer, identifies the number of
    portfolios and maintains portfolio information associated with the
    security portfolios. The investment advice service is available via a
    computer network to assist a **client** in managing a securities
    portfolio identified by the database. INDEPENDENT CLAIMS are also
    included for the following:
        (a) Computerized investment advice providing method;
        (b) Recording medium;
        (c) Graphical **user** interface;
        (d) Computer data **signal** ;
        (e) Computer memory
        USE - For providing investment advice and managing securities
    portfolios for **clients** , such as individual **investors** or financial
    planners, over Internet.
        ADVANTAGE - Provides clear, easy-to-comprehend advice, customized
    to the **user** as to that **user** 's portfolio holdings, tax position and
    risk profile at the time the **user** is receiving his/her portfolio
    and/or considering making a transaction. The application program
    interface (API) of the system architecture provides for integration of
    this system with the existing applications, thus providing
    extensibility of the system.
        DESCRIPTION OF DRAWING(S) - The figure shows the Internet-based
    investment advice providing system.

Server computers (38,50)
            Portfolio database (58)
            pp; 98 DwgNo 1/20
Title Terms: BASED; INVESTMENT; ADVICE; SYSTEM; FINANCIAL; TRADE; COMPONENT
  ; SECURE; TRANSACTION; BASED; COMPARE; PORTFOLIO; INFORMATION; BENCH;
  MARK; ALLOCATE
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

  12/5/52   (Item 46 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

013831975   **Image available**
WPI Acc No: 2001-316187/200133
XRPX Acc No: N01-227300
    Stock   trading **method in** electronic   trading **system involves**
  executing trade **if there is no better** trade **in** stock   order
  originating from outside system for either primary party or counter party
Patent Assignee: BLOOMBERG LP (BLOO-N)
Inventor: BANG K; FOLEY K
Number of Countries: 094 Number of Patents: 005
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200125996	A1	20010412	WO 2000US26866	A	20000929	200133	B
AU 200078400	A	20010510	AU 200078400	A	20000929	200143	
BR 200014509	A	20020611	BR 200014509	A	20000929	200248	
			WO 2000US26866	A	20000929		
EP 1226535	A1	20020731	EP 2000968497	A	20000929	200257	
			WO 2000US26866	A	20000929		
JP 2003511759	W	20030325	WO 2000US26866	A	20000929	200330	
			JP 2001528882	A	20000929		

Priority Applications (No Type Date): US 99412408 A 19991005
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
WO 200125996 A1 E 41 G06F-017/60
   Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA
   CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP
   KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT
   RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
   Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
   IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TZ UG ZW
AU 200078400 A   G06F-017/60   Based on patent WO 200125996
BR 200014509 A   G06F-017/60   Based on patent WO 200125996
EP 1226535   A1 E   G06F-017/60   Based on patent WO 200125996
   Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT
   LI LT LU LV MC MK NL PT RO SE SI
JP 2003511759 W   49 G06F-017/60   Based on patent WO 200125996

Abstract (Basic): WO 200125996 A1
      NOVELTY - Offering is made by a primary party to buy or sell
  selected number of shares at selected price from or to selected counter
  parties. Both parties agree to trade up to an agreed number of shares
  of stock on agreed price. The trade is executed if there is no better
  trade in stock order originating from outside the system for either of
  the parties otherwise better trade is executed.
      DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the
  following:

                        Bode Akintola24-Feb-04

(a) Electronic trading system;
(b) Stock interest determining method;
(c) **Anonymous** negotiation conducting system;
(d) **Anonymous** trade conducting system
USE - For electronic trading system, electronic communication network.
ADVANTAGE - Supports **anonymous** negotiation complying with order handling rates, indicators of interest (IOI) while discouraging fishing IOIs. So users can engage in trades using IOIs with confidence that the initiator is not fishing and wasting the user's time.
DESCRIPTION OF DRAWING(S) - The figure shows the trading system.
pp; 41 DwgNo 1/19
Title Terms: STOCK; TRADE; METHOD; ELECTRONIC; TRADE; SYSTEM; EXECUTE; TRADE; NO; TRADE; STOCK; ORDER; ORIGIN; SYSTEM; PRIMARY; PARTY; COUNTER; PARTY
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

12/5/53   (Item 47 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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013773035   **Image available**
WPI Acc No: 2001-257246/200126
XRPX Acc No: N01-183478
Computerized **tracking system for** trading **of** financial instruments **, has active quotes database to maintain a list of current active quotations with bids and offers**
Patent Assignee: MOSS P I (MOSS-I); TULLETT FINANCIAL INFORMATION CI LTD (TULL-N); WALTERS M D (WALT-I); POINTER E G (POIN-I); WALTERS D M (WALT-I)
Inventor: MOSS P I; POINTER G E; WALTERS M D; POINTER E G; WALTERS D M
Number of Countries: 091 Number of Patents: 004
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200068846	A2	20001116	WO 2000GB1507	A	20000418	200126	B
AU 200045837	A	20001121	AU 200045837	A	20000418	200126	
EP 1183631	A2	20020306	EP 2000927431	A	20000418	200224	
			WO 2000GB1507	A	20000418		
US 20020128945	A1	20020912	US 2001753755	A	20010103	200262	

Priority Applications (No Type Date): GB 9910588 A 19990508
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
WO 200068846	A2	E	33	G06F-017/60	

Designated States (National): AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DK DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW
Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR IE IT KE LS LU MC MW NL OA PT SD SE SL SZ TZ UG ZW

AU 200045837	A			G06F-017/60	Based on patent WO 200068846
EP 1183631	A2	E		G06F-017/60	Based on patent WO 200068846

Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT LI LT LU LV MC MK NL PT RO SE SI

US 20020128945	A1		G06F-017/60

Abstract (Basic): WO 200068846 A2
NOVELTY - An input device (11) generates response message

indicating willingness to accept a bid or offer of current quotations. An active quotes database (32) maintains a list of current active quotations on the trading system. An active quote filter (36) applies selected filtration criteria to inhibit display of current market quotations at a given workstation based on generalized workers indicators.

DETAILED DESCRIPTION - Trader workstations (33), connected to a central server (3) has display (10) of current quotations in the market place including bids and offers. The central server connects workstations (WS) associated with respective trading floor or institution. The database (41) stores generalized institution status indicators in respect to each trading floor or institution. Each indicator indicates non-specific attribute of respective institution.

INDEPENDENT CLAIMS are also included for the following:

(a) method of operating an automated trading system;

(b) automatic trading system operating program stored in computer readable recording medium.

USE - Used in **automated trading** of **financial instruments** such as foreign currency or commodities.

ADVANTAGE - The system provides an effective filtration which enables a reduction in the information to be presented to the trader in his workstation while maintaining a capability for the originators of displayed market quotes to remain **anonymous** . The system allows an individual trader to effectively transfer ownership of an active quote to another trader.

DESCRIPTION OF DRAWING(S) - The figure shows the computerized trading system.

Central server (3)
Display (10)
Input device (11)
Active quotes database (32)
Trader workstation (33)
Active quote filter (36)
Database (41)
pp; 33 DwgNo 3/6

Title Terms: COMPUTER; TRACK; SYSTEM; TRADE; FINANCIAL; INSTRUMENT; ACTIVE; DATABASE; MAINTAIN; LIST; CURRENT; ACTIVE; BID; OFFER
Derwent Class: T01; T05
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

12/5/54   (Item 48 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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013773034   **Image available**
WPI Acc No: 2001-257245/200126
XRPX Acc No: N01-183477
  Transaction method for use in field of e-commerce, involves transmitting purchase signal **to purchase by merchant to confirm that nominated goods are purchased**
Patent Assignee: SHANAHAN T (SHAN-I)
Inventor: SHANAHAN T
Number of Countries: 092 Number of Patents: 002
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200068845	A1	20001116	WO 2000AU421	A	20000505	200126	B
AU 200042766	A	20001121	AU 200042766	A	20000505	200126	

Priority Applications (No Type Date): AU 99188 A 19990505

Patent Details:
Patent No   Kind Lan Pg   Main IPC   Filing Notes
WO 200068845 A1 E 39 G06F-017/60
    Designated States (National): AE AG AL AM AT AU AZ BA BB BG BR BY CA CH
    CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE
    KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU
    SD SE SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW
    Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
    IE IT KE LS LU MC MW NL OA PT SD SE SL SZ TZ UG ZW
AU 200042766 A   G06F-017/60   Based on patent WO 200068845

Abstract (Basic): WO 200068845 A1
        NOVELTY - A purchaser (10) nominates goods, and obtains monetary
    value of nominated goods from a merchant (20). Purchaser communicates
    with funds provider (30) who provides encoded payment **signal** for
    funds based on obtained monetary value, to purchaser. The purchaser
    allows merchant to decode the payment **signal** . The purchase **signal**
    is sent to the purchaser by merchant to confirm that nominated goods
    are purchased.
        DETAILED DESCRIPTION - The encoded payment **signal** consists of
    three segment data portion, whereas the first data portion consists of
    customer confirmation number which is decoded by purchaser and not by
    merchant, second data portion consists of merchant confirmation number
    which is decoded by merchant and not by purchaser, and the third data
    portion consists of transaction number allocated to the purchaser by
    the merchant. INDEPENDENT CLAIMS are also included for the following:
        (a) transaction system;
        (b) funds providing method;
        (c) method for merchant to trade goods
        USE - For transaction between merchant offering for sale goods
    and/or services, purchaser desiring to purchase goods and/or services
    and funds provider. Also in the field of electronic commerce.
        ADVANTAGE - Since the purchaser opens the **web** sites of merchant
    and funds provider, simultaneously the **transaction** is simple and
    improves **security** , since the encoded payment **signal** from the funds
    provider is transmitted to the merchant only through the purchaser. By
    decoding the portion of payment **signal** by merchant, the electronic
    funds transfer between the funds provider the merchant is performed,
    thus transaction is facilitated. Since the purchaser utilize a computer
    system which automatically configures the purchase **signals** and
    payment **signals** , the confirmation to the **user** is facilitated.
        DESCRIPTION OF DRAWING(S) - The figure shows the schematic diagram
    of transaction system.
        Purchaser (10)
        Merchant (20)
        Funds provider (30)
        pp; 39 DwgNo 7/7
Title Terms: TRANSACTION; METHOD; FIELD; TRANSMIT; PURCHASE; **SIGNAL** ;
    PURCHASE; MERCHANT; CONFIRM; GOODS; PURCHASE
Derwent Class: T01; T05
International Patent Class (Main): **G06F-017/60**
International Patent Class (Additional): G06F-151/00
File Segment: EPI

 12/5/55   (Item 49 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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013586587   **Image available**

                        Bode Akintola24-Feb-04

   **Trading security system for use in trading financial instruments such as
   bonds, approves proposed trade only if assigned customer risk rating and
   trade risk rating satisfy preset mutual relationship**
Patent Assignee: MEK SECURITIES LLC (MEKS-N)
Inventor: MIRAL K
Number of Countries: 080 Number of Patents: 004
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200070506	A1	20001123	WO 2000US7561	A	20000322	200108	B
AU 200039082	A	20001205	AU 200039082	A	20000322	200113	
EP 1121648	A1	20010808	EP 2000918234	A	20000322	200146	
			WO 2000US7561	A	20000322		
JP 2003524820	W	20030819	JP 2000618880	A	20000322	200356	
			WO 2000US7561	A	20000322		

Priority Applications (No Type Date): US 2000553088 A 20000322; US 99134956
   P 19990519
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
WO 200070506	A1	E	104	G06F-017/30	

   Designated States (National): AL AM AT AU AZ BA BB BG BR BY CA CH CN CU
   CZ DE DK EE ES FI GB GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK
   LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ
   TM TR TT UA UG UZ VN YU ZW
   Designated States (Regional): AT BE CH CY DE DK ES FI FR GB GR IE IT LU
   MC NL PT SE

AU 200039082	A			G06F-017/30	Based on patent WO 200070506
EP 1121648	A1	E		G06F-017/30	Based on patent WO 200070506

   Designated States (Regional): AL AT BE CH CY DE DK ES FI FR GB GR IE IT
   LI LT LU LV MC MK NL PT RO SE SI

JP 2003524820	W		87	G06F-017/60	Based on patent WO 200070506

Abstract (Basic): WO 200070506 A1
      NOVELTY - The customer risk rating and the trading risk rating, are
   assigned with reference to the customer and trade details received from
   the customer and customer, trade risk assessment rules accessed from
   corresponding databases. The trading proposed by customer is approved,
   if the assigned customer risk rating and trade risk rating satisfy
   predetermined mutual relationship.
      USE - For secure trading of financial instruments such as bonds.
      ADVANTAGE - Since the **trading** is approved only if the assigned
   risk rating and **trade** risk rating satisfy predefined mutual
   relationship, the **security** of **trading** system is improved. By
   communicating the **trading** system's computer and computers of
   sponsoring broker-dealers, the **electronic** data are interchanged,
   between them, directly. As trade approval rules are implemented,
   anonymous customer-to-customer trading is provided without manual
   intervention.
      DESCRIPTION OF DRAWING(S) - The figure shows the flow diagram of
   trading security method.
      pp; 104 DwgNo 9/20
Title Terms: TRADE; SECURE; SYSTEM; TRADE; FINANCIAL; INSTRUMENT; BOND;
  PROPOSED; TRADE; ASSIGN; CUSTOMER; RISK; RATING; TRADE; RISK; RATING;
  SATISFY; PRESET; MUTUAL; RELATED
Derwent Class: T01; T05
International Patent Class (Main): G06F-017/30; **G06F-017/60**
File Segment: EPI

DIALOG(R)File 350:Derwent WPIX
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013522382   **Image available**
WPI Acc No: 2001-006588/200101
XRPX Acc No: N01-004739
  **Global synchronization unit for time and space stamping of input data
  elements, connects input data element with time and space stamp data
  element to produce time and space stamped input data**
Patent Assignee: REVEO INC (REVE-N); FARIS S M (FARI-I); FLANNERY J P
  (FLAN-I); HAMLIN G J (HAML-I); HAMLIN G (HAML-I)
Inventor: FARIS S M; FLANNERY J P; HAMLIN G J; HAMLIN G
Number of Countries: 091 Number of Patents: 008
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 200050974	A2	20000831	WO 2000US5093	A	20000228	200101	B
AU 200037102	A	20000914	AU 200037102	A	20000228	200101	
US 20020026321	A1	20020228	US 99258573	A	19990226	200220	
US 20020069076	A1	20020606	US 99258573	A	19990226	200241	
			US 2000579105	A	20000525		
EP 1208412	A2	20020529	EP 2000915913	A	20000228	200243	
			WO 2000US5093	A	20000228		
KR 2002012538	A	20020216	KR 2001710983	A	20010827	200257	
JP 2003526833	W	20030909	JP 2000601510	A	20000228	200360	
			WO 2000US5093	A	20000228		
US 6659861	B1	20031209	US 99258573	A	19990226	200381	
			US 2000579222	A	20000526		

Priority Applications (No Type Date): US 2000513601 A 20000225; US 99258573
  A 19990226; US 2000579105 A 20000525; US 2000579222 A 20000526
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
WO 200050974 A2 E 340 G06F-000/00
  Designated States (National): AE AL AM AT AU AZ BA BB BG BR BY CA CH CN
  CR CU CZ DE DK DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP
  KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE
  SG SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW
  Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
  IE IT KE LS LU MC MW NL OA PT SD SE SL SZ TZ UG ZW
AU 200037102 A   Based on patent WO 200050974
US 20020026321 A1   G06F-017/60
US 20020069076 A1   G06F-017/60   Cont of application US 99258573
EP 1208412   A2 E   G06F-001/00   Based on patent WO 200050974
  Designated States (Regional): AT BE CH CY DE DK ES FI FR GB GR IE IT LI
  LU MC NL PT SE
KR 2002012538 A   G06F-015/16
JP 2003526833 W   342 G06F-015/177 Based on patent WO 200050974
US 6659861   B1   G06F-017/00   Cont of application US 99258573

Abstract (Basic): WO 200050974 A2
      NOVELTY - GPS receiver (170) automatically produces time and space
  (TS) stamp data element at each data sampling instant, on reception of
  GPS **signals** . Data elements represent TS coordinates of the global
  synchronization unit (GSU) with respect to global reference system.
  Input data element is added with TS element at each data sampling
  element so as to produce TS stamp input data element, which is stored
  in memory.
      DETAILED DESCRIPTION - INDEPENDENT CLAIMS are also included for the
  following:

Bode Akintola24-Feb-04

(a) internet based system;

(b) TV based **client** machine;

(c) method of registering contestant with internet based contest supporting system;

(d) system for promoting and presenting web documents;

(e) method of handling communication in multiplayer contest using multiple game servers;

(f) method of enabling contestant to compete against many other **clients** ;

(g) method of downloading encrypted query and start time to **client** machine;

(h) method of characterizing the local clock on **client** machine and synchronizing the display update cycle;

(i) method of presenting encrypted query to GSU enabled **client** machine;

(j) method of submitting time stamped contestant response to query presented to GSU enabled **client** machine;

(k) method of promoting contest over internet;

(l) method of synchronizing events in **client** machines;

(m) method of **triggering** event on **client** machine;

(n) system for performing an action on **client** machine;

(o) sub-system for creating and administering contests promoted by contest promoting system;

(p) set-top TV **client** machine;

(q) internet based method for enabling bidders;

(r) internet based system for enabling bidders to compete in bidding;

(s) internet based method for enabling **traders** to compete fairly in trading;

(t) system and method of serving and receiving information over internet;

(u) system and method for electronically filing legal documents;

(v) system and method for receiving information from securities;

(w) system and method for **electronic** based **on - line securities trading** ;

(x) internet based method of securing computers communication network;

(y) internet based system for displaying information clues or instruction at particular instances along space time column;

(z) internet based system for collecting space time coordination of athlete or animal at particular instances along space time continuum;

(aa) internet based method and system for enabling operation of set top cable TV boxes;

(bb) internet based method and system for enabling/controlling the operation of portable host system;

(cc) internet based system for tracking an object;

(dd) internet based system for enabling operation of transportable digital media

USE - For time and space stamping of input data elements used in **client** -server type interworked computer systems like internet used for contest promotion, financial trading and auction supporting.

ADVANTAGE - Serving and receiving information over internet in connection with time constrained competitive processes, avoids problems of network latency and ensures microsecond accuracy.

DESCRIPTION OF DRAWING(S) - The figure shows block diagram of internet based system.

GPS receiver (170)

pp; 340 DwgNo 1/29

Title Terms: GLOBE; SYNCHRONISATION; UNIT; TIME; SPACE; STAMP; INPUT; DATA; ELEMENT; CONNECT; INPUT; DATA; ELEMENT; TIME; SPACE; STAMP; DATA; ELEMENT

; PRODUCE; TIME; SPACE; STAMP; INPUT; DATA
Derwent Class: T01
International Patent Class (Main): G06F-000/00; G06F-001/00; G06F-015/16;
  G06F-015/177; G06F-017/00; **G06F-017/60**
International Patent Class (Additional): G06F-013/00; H04L-009/32;
  H04N-005/225; H04N-007/173; H04N-007/18
File Segment: EPI

12/5/57   (Item 51 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2004 Thomson Derwent. All rts. reserv.

013130876   **Image available**
WPI Acc No: 2000-302747/200026
Related WPI Acc No: 1998-145927; 2002-381813
XRPX Acc No: N00-226249
  **Account security providing apparatus for use in financial transaction,
  processes transaction on electric money account holder in conjunction
  with limitation and restriction**
Patent Assignee: BOCK R R (BOCK-I); JOAO R A (JOAO-I)
Inventor: BOCK R R; JOAO R A
Number of Countries: 001 Number of Patents: 001
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week
US 6047270	A	20000404	US 96694199	A	19960808	200026 B
			US 97873945	A	19970612	
			US 97918284	A	19970825	
			US 98169053	A	19981009	

Priority Applications (No Type Date): US 98169053 A 19981009; US 96694199 A
  19960808; US 97873945 A 19970612; US 97918284 A 19970825
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 6047270	A		75	G06F-017/60	Cont of application US 96694199
					Cont of application US 97873945
					CIP of application US 98169053
					Cont of patent US 5878337

Abstract (Basic): US 6047270 A
      NOVELTY - The limitation and restriction on usage of electronic
money account received from an account holder is stored in a memory. A
processor processes a transaction on the electronic money account in
conjunction with limitation and restriction and outputs an approval and
disapproval **signal** to the account holder.
      DETAILED DESCRIPTION - An INDEPENDENT CLAIM is also included for
account security providing method.
      USE - For **electronic   transaction** between point-of-sale device
and **customer** to provide financial **transaction** and/or wireless
communication device authorization, notification and/or **security** for
any number and/or types of accounts including credit and accounts,
charge card accounts, debit card accounts, currency card accounts or
smart card accounts, electronic money or electronic cash accounts
and/or other transaction card accounts, financial accounts, **brokerage**
accounts, saving accounts, checking accounts, automated teller machine
accounts, wireless or cellular device or telephone accounts.
      ADVANTAGE - Provides real time notification of financial
transaction.
      DESCRIPTION OF DRAWING(S) - The figure shows block diagram of
account security providing apparatus.

pp; 75 DwgNo 1/20
Title Terms: ACCOUNT; SECURE; APPARATUS; FINANCIAL; TRANSACTION; PROCESS;
   TRANSACTION; ELECTRIC; MONEY; ACCOUNT; HOLD; CONJUNCTION; LIMIT; RESTRICT
Derwent Class: T01; T05
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

12/5/58   (Item 52 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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012471660   **Image available**
WPI Acc No: 1999-277768/199923
XRPX Acc No: N99-208193
   Internet-protocol based anonymous **trading system for derivative trading**
Patent Assignee: BLACKBIRD HOLDINGS INC (BLAC-N); MAY R R (MAYR-I);
   DERIVATIVES NET INC (DERI-N)
Inventor: MAY R R
Number of Countries: 084 Number of Patents: 014
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 9919821	A1	19990422	WO 98US21518	A	19981013	199923	B
AU 9912703	A	19990503	AU 9912703	A	19981013	199937	
EP 1023684	A1	20000802	EP 98956106	A	19981013	200038	
			WO 98US21518	A	19981013		
US 6317727	B1	20011113	US 9762410	P	19971014	200173	
			US 98169878	A	19981012		
JP 2001520421	W	20011030	WO 98US21518	A	19981013	200202	
			JP 2000516304	A	19981013		
US 6421653	B1	20020716	US 9762410	P	19971014	200248	
			US 98169906	A	19981012		
US 20020099651	A1	20020725	US 9762410	P	19971014	200254	
			US 98169878	A	19981012		
			US 20016151	A	20011108		
US 20020138390	A1	20020926	US 9762410	P	19971014	200265	
			US 98169767	A	19981012		
US 20030093360	A1	20030515	US 9762410	P	19971014	200335	
			US 98169906	A	19981012		
			US 2002166565	A	20020610		
AU 762863	B	20030710	AU 9912703	A	19981013	200355	
US 20030220868	A1	20031127	US 9762410	P	19971014	200378	
			US 98169879	A	19981012		
			US 2000680496	A	20001005		
			US 2003408764	A	20030407		
US 20030229571	A1	20031211	US 9762410	P	19971014	200382	
			US 98169767	A	19981012		
			US 2002277624	A	20021022		
US 20040015431	A1	20040122	US 9762410	P	19971014	200407	
			US 98169879	A	19981012		
			US 2000679693	A	20001005		
			US 2003395710	A	20030324		
US 20040015430	A1	20040122	US 9762410	P	19971014	200407	
			US 98169879	A	19981012		
			US 2003377254	A	20030228		

Priority Applications (No Type Date): US 9762410 P 19971014; US 98169878 A
   19981012; US 98169906 A 19981012; US 20016151 A 20011108; US 98169767 A
   19981012; US 2002166565 A 20020610; US 98169879 A 19981012; US 2000680496
   A 20001005; US 2003408764 A 20030407; US 2002277624 A 20021022; US
   2003377254 A 20030228; US 2000679693 A 20001005; US 2003395710 A 20030324

Patent Details:
```
Patent No   Kind Lan Pg   Main IPC        Filing Notes
WO 9919821     A1 E 130  G06F-017/60
    Designated States (National): AL AM AT AU AZ BA BB BG BR BY CA CH CN CU
    CZ DE DK EE ES FI GB GD GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK
    LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ
    TM TR TT UA UG US UZ VN YU ZW
    Designated States (Regional): AT BE CH CY DE DK EA ES FI FR GB GH GM GR
    IE IT KE LS LU MC MW NL OA PT SD SE SZ UG ZW
AU 9912703     A                          Based on patent WO 9919821
EP 1023684     A1 E      G06F-017/60       Based on patent WO 9919821
    Designated States (Regional): AT BE CH CY DE DK ES FI FR GB GR IE IT LI
    LU MC NL PT SE
US 6317727     B1         G06F-017/60       Provisional application US 9762410
JP 2001520421 W     172  G06F-017/60       Based on patent WO 9919821
US 6421653     B1         G06F-017/60       Provisional application US 9762410
US 20020099651 A1        G06F-017/60       Provisional application US 9762410

                                           Cont of application US 98169878
US 20020138390 A1        G06F-017/60       Provisional application US 9762410

US 20030093360 A1        G06F-017/60       Provisional application US 9762410

                                           Cont of application US 98169906
                                           Cont of patent US 6421653
AU 762863      B         G06F-017/60       Previous Publ. patent AU 9912703
                                           Based on patent WO 9919821
US 20030220868 A1        G06F-017/60       Provisional application US 9762410

                                           Div ex application US 98169879
                                           Cont of application US 2000680496
US 20030229571 A1        G06F-017/60       Provisional application US 9762410

                                           Cont of application US 98169767
US 20040015431 A1        G06F-017/60       Provisional application US 9762410

                                           Div ex application US 98169879
                                           Cont of application US 2000679693
US 20040015430 A1        G06F-017/60       Provisional application US 9762410

                                           Cont of application US 98169879
```

Abstract (Basic): WO 9919821 A1

NOVELTY - At the user's workstation, the user may select from a number of different interfaces that enable the user to follow markets, enter and execute trades and monitor outstanding and historical orders and executions.

DETAILED DESCRIPTION - Traders are able to identify bids and offers which they are eligible to trade, based upon a color coded methodology which gives the trader credit preference information about the potential counter-party while still maintaining anonymity of the counter-party. Each bid or offer is prescreened against all possible counter-parties credit information in the system, and each counter-party sees a unique color coded trading interface based upon their particular credit preference combinations and others in the system. The system shows all the prices in the system, and the colour-coding tells the trader which prices he is able to trade, and also shows him the full depth of the market, including those the trader is unable to trade. INDEPENDENT CLAIMS are included for; a method for facilitating derivative **trading** between one party and a number of potential traders; a method for conducting electronic **trades** of

financial **instruments** over a computer system; a system for
conducting electronic **trading** between traders; a system for credit
screening an **electronic trade** of a **financial instrument** ; a
method for screening **order** information proposing a **trade** of a
financial instrument via an **electronic trading** system; a system
for risk portfolio management; a method for risk portfolio management
using an **electronic trading** system.
    USE – **Electronic trading** of **financial instruments** e.g.
derivatives.
    ADVANTAGE – Enables traders to identify bids and offers which they
are eligible to trade based upon a color coded methodology, which gives
the trader credit preference information about the potential
counter-party while still maintaining anonymity of the counter-party.
    DESCRIPTION OF DRAWING(S) – The drawing shows a process flow
diagram illustrating operations and functionality of the central
processing center of the invention.
    pp; 130 DwgNo 34/34
Title Terms: PROTOCOL; BASED; TRADE; SYSTEM; DERIVATIVE; TRADE
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
File Segment: EPI

12/5/59   **(Item 53 from file: 350)**
DIALOG(R)File 350:Derwent WPIX
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011395235   **Image available**
WPI Acc No: 1997-373142/199734
XRPX Acc No: N97-309823
  Secure anonymous **data exchange method for electronic commerce using
  computer network – using** anonymous **re-mailers and public key certifiers
  to handle commercial offers and bids in secure and** anonymous **manner**
Patent Assignee: INT BUSINESS MACHINES CORP (IBMC)
Inventor: HAUSER R C; TSUDIK G
Number of Countries: 019 Number of Patents: 008
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 9725801	A1	19970717	WO 96IB25	A	19960112	199734	B
EP 876722	A1	19981111	EP 96900050	A	19960112	199849	
			WO 96IB25	A	19960112		
JP 11509354	W	19990817	WO 96IB25	A	19960112	199943	
			JP 97525020	A	19960112		
US 6061789	A	20000509	WO 96IB25	A	19960112	200030	
			US 98101230	A	19980702		
EP 876722	B1	20020403	EP 96900050	A	19960112	200230	
			WO 96IB25	A	19960112		
DE 69620460	E	20020508	DE 620460	A	19960112	200238	
			EP 96900050	A	19960112		
			WO 96IB25	A	19960112		
JP 3346772	B2	20021118	WO 96IB25	A	19960112	200279	
			JP 97525020	A	19960112		
ES 2174050	T3	20021101	EP 96900050	A	19960112	200281	N

Priority Applications (No Type Date): WO 96IB25 A 19960112
Cited Patents: 3.Jnl.Ref
Patent Details:
Patent No Kind Lan Pg   Main IPC   Filing Notes
WO 9725801   A1 E 34 H04L-009/32
   Designated States (National): JP US

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     Designated States (Regional): AT BE CH DE DK ES FR GB GR IE IT LU MC NL
     PT SE
EP 876722       A1 E                     Based on patent WO 9725801
     Designated States (Regional): CH DE ES FR GB IT LI NL
JP 11509354     W       36 G06F-015/00   Based on patent WO 9725801
US 6061789      A          G09C-003/00   Based on patent WO 9725801
EP 876722       B1 E       H04L-009/32   Based on patent WO 9725801
     Designated States (Regional): CH DE ES FR GB IT LI NL
DE 69620460     E          H04L-009/32   Based on patent EP 876722
                                         Based on patent WO 9725801
JP 3346772      B2      16 H04L-009/32   Previous Publ. patent JP 11509354
                                         Based on patent WO 9725801
ES 2174050      T3         H04L-009/32   Based on patent EP 876722
```

Abstract (Basic): WO 9725801 A

   The network management system for electronic commerce uses a
technical process to exchange offers and bids. The process relies on
the use of existing **anonymous** remailers and public key certification
systems. Initially the consumer issues an offer by sending a plain
message via **anonymous** re-mailer to interested parties. The message
includes a digital signature.

   A merchant receiving the offer and decides if a bid is required.
The merchant can return a bid, again via an **anonymous** re-mailer, and
include the merchants digital signature. The consumer can match the
received bid details with the offer and if acceptable can use direct or
anonymous acceptance of the offer.

   ADVANTAGE - For private **electronic** commerce **transactions** making
use of existing **anonymous** and **security** systems.

   Dwg.2B/3

Title Terms: SECURE; DATA; EXCHANGE; METHOD; ELECTRONIC; COMPUTER; NETWORK;
   PUBLIC; KEY; HANDLE; COMMERCIAL; OFFER; BID; SECURE; MANNER
Derwent Class: P85; T01; T05; W01
International Patent Class (Main): G06F-015/00; G09C-003/00; H04L-009/32
International Patent Class (Additional): **G06F-017/60** ; G06F-019/00;
   G07F-007/10; G09C-001/00
File Segment: EPI; EngPI

 12/5/60   (Item 54 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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010443435   **Image available**
WPI Acc No: 1995-344754/199544
XRPX Acc No: N95-257638
   Computerised   stock   **exchange** trading **system - monitors and displays
   list of stocks and records prices on spread-sheet which generates share
   order when composite price of list of stocks conforms to predetermined
   parameters**
Patent Assignee: BELZBERG S H (BELZ-I); BELZBERG FINANCIAL MARKETS & NEWS
   INT IN (BELZ-N)
Inventor: BELZBERG S H
Number of Countries: 063 Number of Patents: 014
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 9526005	A1	19950928	WO 95CA123	A	19950303	199544	B
AU 9517520	A	19951009	AU 9517520	A	19950303	199603	
CA 2119921	A	19950924	CA 2119921	A	19940323	199604	
NO 9603951	A	19961121	WO 95CA123	A	19950303	199705	
			NO 963951	A	19960920		

EP	752135	A1	19970108	EP	95910376	A	19950303	199707
				WO	95CA123	A	19950303	
BR	9507141	A	19970930	BR	957141	A	19950303	199748
				WO	95CA123	A	19950303	
HU	74896	T	19970228	WO	95CA123	A	19950303	199748
				HU	962581	A	19950303	
JP	10500788	W	19980120	JP	95524261	A	19950303	199813
				WO	95CA123	A	19950303	
KR	97701889	A	19970412	WO	95CA123	A	19950303	199817
				KR	96705253	A	19960923	
EP	752135	B1	19990203	EP	95910376	A	19950303	199910
				WO	95CA123	A	19950303	
AU	9894196	A	19990204	AU	9517520	A	19950303	199917
				AU	9894196	A	19981127	
DE	69507693	E	19990318	DE	607693	A	19950303	199917
				EP	95910376	A	19950303	
				WO	95CA123	A	19950303	
US	6134535	A	20001017	WO	95CA123	A	19950303	200054
				US	96716389	A	19960919	
CN	1147308	A	19970409	CN	95192804	A	19950303	200108

Priority Applications (No Type Date): CA 2119921 A 19940323
Cited Patents: EP 401203; EP 453150; WO 9114231
Patent Details:
Patent No   Kind Lan Pg   Main IPC   Filing Notes
WO 9526005   A1 E   28 G06F-017/60
   Designated States (National): AM AT AU BB BG BR BY CA CH CN CZ DE DK EE
   ES FI GB GE HU JP KE KG KP KR KZ LK LR LT LU LV MD MG MN MW MX NL NO NZ
   PL PT RO RU SD SE SG SI SK TJ TT UA UG US UZ VN
   Designated States (Regional): AT BE CH DE DK ES FR GB GR IE IT KE LU MC
   MW NL OA PT SD SE SZ UG
AU 9517520   A   G06F-017/60   Based on patent WO 9526005
CA 2119921   A   G06F-015/20
NO 9603951   A   G06F-017/60 .
EP 752135   A1 E 28 G06F-017/60   Based on patent WO 9526005
   Designated States (Regional): AT BE CH DE DK ES FR GB GR IT LI LU MC NL
   SE
BR 9507141   A   G06F-017/60   Based on patent WO 9526005
HU 74896   T   G06F-017/60   Based on patent WO 9526005
JP 10500788   W   19 G06F-017/60   Based on patent WO 9526005
KR 97701889   A   G06F-017/60   Based on patent WO 9526005
EP 752135   B1 E   G06F-017/60   Based on patent WO 9526005
   Designated States (Regional): AT BE CH DE DK ES FR GB GR IT LI LU MC NL
   SE
AU 9894196   A   G06F-017/60   Div ex application AU 9517520
DE 69507693   E   G06F-017/60   Based on patent EP 752135
                                      Based on patent WO 9526005
US 6134535   A   G06F-017/60   Based on patent WO 9526005
CN 1147308   A   G06F-017/60

Abstract (Basic): WO 9526005 A
     The **computerised stock** exchange **trading** system includes a
graphic **user** interface with a mouse and display which is used to
select parameters e.g. share symbol, price selection, order size and
transaction type together with other indicators to launch a trading
order to the data entry system of a stock exchange computer.
     The system also includes a programmed interface by which data on a
group of shares may be read from a spreadsheet formulated into an order
and launched automatically or in response to a **signal** from an
operator so as to trade an index or basket of shares instantaneously.
     USE/ADVANTAGE - Purchase and sale of **stock** and shares traded on

stock exchange instantaneously. Enables multiple share **order** entries
to be executed **automatically** within seconds by **trader** /operator by
activating few entries on keyboard.
   Dwg.4/4
Title Terms: COMPUTER; STOCK; EXCHANGE; TRADE; SYSTEM; MONITOR; DISPLAY;
   LIST; STOCK; RECORD; PRICE; GENERATE; SHARE; ORDER; COMPOSITE; PRICE;
   LIST; STOCK; CONFORM; PREDETERMINED; PARAMETER
Derwent Class: T01
International Patent Class (Main): G06F-015/20; **G06F-017/60** .
File Segment: EPI

 12/5/61   (Item 55 from file: 350)
DIALOG(R)File 350:Derwent WPIX
·(c) 2004 Thomson Derwent. All rts. reserv.

010383657   **Image available**
WPI Acc No: 1995-284971/199538
Related WPI Acc No: 1997-228844
XRPX Acc No: N95-216977
   Performing financial transactions using smart card - checking whether
   security keys of two cards match before unlocking to allow financial
   transactions
Patent Assignee: AT & T CORP (AMTT); AMERICAN TELEPHONE & TELEGRAPH CO
   (AMTT); AT & T IPM CORP (AMTT)
Inventor: CLAUS D M
Number of Countries: 010 Number of Patents: 010
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
EP 668579	A2	19950823	EP 95300665	A	19950202	199538	B
CA 2138829	A	19950809	CA 2138829	A	19941222	199544	
US 5461217	A	19951024	US 94194186	·A	19940208	199548	
BR 9500433	A	19951017	BR 95433	A	19950203	199550	
JP 7319982	A	19951208	JP 9520357	A·	19950208	199607	
JP 7319983	A	19951208	JP 9520357	A	19950208	199607	
			JP 95101548	A	19950208		
CN 1120203	A	19960410	CN 95101908	A	19950206	199744	
CA 2138829	C	19990810	CA 2138829	A	19941222	199952·	
EP 668579	·B1	20030910	EP 95300665	A	19950202	200360	
DE 69531711	E	20031016	DE 631711	A	19950202	200376	
			EP 95300665	A	19950202		

Priority Applications (No Type Date): US 94194186 A 19940208
Cited Patents: No-SR.Pub
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
EP 668579	A2	E	22	G07F-007/10	

   Designated States (Regional): DE ES FR GB IT

CA 2138829	A			G06F-015/30	
US 5461217	A		19	G06K-005/00	
BR 9500433	A			G06F-017/60	
JP 7319982	A		20	G06F-019/00	
JP 7319983	A		21	G06F-019/00	Div ex application JP 9520357
CN 1120203	A			G06F-017/60	
CA 2138829	C	E		G06F-017/60	
EP 668579	B1	E		G07F-007/10	

   Designated States (Regional): DE ES FR GB IT

DE 69531711	E			G07F-007/10	Based on patent EP 668579

Abstract (Basic): EP 668579 A
      The method of performing financial transactions involves storing an
   electronic representation of a monetary value on several smart cards.

One of the cards is equipped with an **electronic security** lock. In the locked state the smart card is disabled from participating in a financial **transaction** . The smart cards have **security** keys. **Security** keys of two smart cards are compared to generate a match **signal** or a no-match **signal** . If the keys match then the card is unlocked. If they do not match then the card is locked. Monetary values are transferred between smart cards and between smart cards and a bank.

USE/ADVANTAGE - For point of sale. Improved security due to lock. Can provide **customer** anonymity on request.

Dwg.1/7

Title Terms: PERFORMANCE; FINANCIAL; TRANSACTION; SMART; CARD; CHECK; SECURE; KEY; TWO; CARD; MATCH; UNLOCK; ALLOW; FINANCIAL; TRANSACTION

Derwent Class: T01; T04; T05

International Patent Class (Main): G06F-015/30; **G06F-017/60** ; G06F-019/00; G06K-005/00; G07F-007/10

International Patent Class (Additional): G06F-157/00; G06K-017/00; G06K-019/067; G06K-019/07

File Segment: EPI

12/5/62   (Item 56 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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009565338   **Image available**

WPI Acc No: 1993-258886/199332

Related WPI Acc No: 1998-506245

XRPX Acc No: N93-199133

Credit management for electronic brokerage system - uses computer communication network connecting traders in financial instruments for circulating anonymous **price quotation based on established credit limits**

Patent Assignee: CITICORP DEALING RESOURCES INC (CITI-N); FOREIGN EXCHANGE TRANSACTION SERVICES (FORE-N); EBS DEALING RESOURCES INC (EBSD-N)

Inventor: DUNNE M F; HARTHEIMER R; TOGHER M

Number of Countries: 022 Number of Patents: 012

Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
WO 9315467	A1	19930805	WO 93US916	A	19930202	199332	B
AU 9336054	A	19930901	AU 9336054	A	19930202	199350	
EP 625275	A1	19941123	EP 93904823	A	19930202	199445	
			WO 93US916	A	19930202		
US 5375055	A	19941220	US 92830408	A	19920203	199505	
AU 658490	B	19950413	AU 9336054	A	19930202	199524	
JP 7506916	W	19950727	JP 93513493	A	19930202	199538	
			WO 93US916	A	19930202		
EP 625275	B1	19970416	EP 93904823	A	19930202	199720	
			WO 93US916	A	19930202		
DE 69309905	E	19970522	DE 609905	A	19930202	199726	
			EP 93904823	A	19930202		
			WO 93US916	A	19930202		
ES 2103467	T3	19970916	EP 93904823	A	19930202	199744	
SG 46664	A1	19980220	SG 967621	A	19930202	199822	
CA 2129250	C	19990608	CA 2129250	A	19930202	199941	
			WO 93US916	A	19930202		
US 6014627	A	20000111	US 92830408	A	19920203	200010	
			US 94324843	A	19941018		
			US 96665594	A	19960618		

Priority Applications (No Type Date): US 92830408 A 19920203; US 94324843 A

19941018; US 96665594 A 19960618
Cited Patents: Jnl.Ref; EP 399850; EP 512702; US 4942616
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
WO 9315467	A1	E	36	G06F-015/24	

Designated States (National): AU CA JP US
Designated States (Regional): AT BE CH DE DK ES FR GB GR IE IT LU MC NL PT SE

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 6014627	A			G06F-019/00	Cont of application US 92830408 Cont of application US 94324843 Cont of patent US 5375055
AU 9336054	A			G06F-015/24	Based on patent WO 9315467
EP 625275	A1	E	2	G06F-015/24	Based on patent WO 9315467

Designated States (Regional): AT BE CH DE DK ES FR GB GR IE IT LI LU MC NL PT SE

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
US 5375055	A		16	G06F-015/21	
AU 658490	B			G06F-015/24	Previous Publ. patent AU 9336054 Based on patent WO 9315467
JP 7506916	W		17	G06F-017/60	Based on patent WO 9315467
EP 625275	B1	E	24	G06F-017/60	Based on patent WO 9315467

Designated States (Regional): AT BE CH DE DK ES FR GB GR IE IT LI LU MC NL PT SE

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
DE 69309905	E			G06F-017/60	Based on patent EP 625275 Based on patent WO 9315467
ES 2103467	T3			G06F-017/60	Based on patent EP 625275
CA 2129250	C	E		G06F-017/60	Based on patent WO 9315467
SG 46664	A1			G06F-015/24	

Abstract (Basic): WO 9315467 A
An **anonymous** trading system for trading in financial instruments
e.g. foreign currencies between several trading floors with
terminals (WS) on each floor circulates bid and/or offer prices to
and from those counter-parties with which each floor is eligible to
deal. It also maintains the anonymity of the potential counter-party
and the confidentiality of any specific credit limitations (MAN,ARB)
imposed by the **anonymous** counter-party. Dealable price information
(MD) based on the above is calculated and passed to the terminals on at
least one floor where the level of credit is currently available on a
bilateral basis both from and to that floor.
ADVANTAGE - Sensitive client credit limit data is kept secure by
being stored only at access node associated with client and only yes/no
indication of whether client is willing to transact business with
partic. counter-party is transmitted to other nodes of network.
Dwg.1/6
Title Terms: CREDIT; MANAGEMENT; ELECTRONIC; SYSTEM; COMPUTER; COMMUNICATE;
NETWORK; CONNECT; FINANCIAL; INSTRUMENT; CIRCULATE; PRICE; QUOTATION;
BASED; ESTABLISH; CREDIT; LIMIT
Derwent Class: T01
International Patent Class (Main): G06F-015/21; G06F-015/24; **G06F-017/60** ;
G06F-019/00
International Patent Class (Additional): G06F-019/00
File Segment: EPI

12/5/63   (Item 57 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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004702297
WPI Acc No: 1986-205639/198632
XRPX Acc No: N86-153400

Bode Akintola24-Feb-04

**Data processing system for automated securities market - validates
transaction orders against stored data and updates data-base stock etc.**

Patent Assignee: LYNCH M PIERCE (LYNC-N); MERRILL LYNCH PIERCE FENNER
(MERR-N); MERRILL LYNCH PIERCE FENNER & SMITH INC (MERR-N)
Inventor: KALMUS L P; MOTT B; STAMPFR J; TROJAN D R; STAMPFER J
Number of Countries: 004   Number of Patents: 006
Patent Family:

Patent No	Kind	Date	Applicat No	Kind	Date	Week	
DE 3539545	A	19860731	DE 3539545	A	19851107	198632	B
GB 2180380	A	19870325	GB 8527346	A	19851106	198712	
US 4674044	A	19870616	US 85696407	A	19850130	198726	
CH 670716	A	19890630				198930	
GB 2180380	B	19891122	GB 8527346	A	19850130	198947	
DE 3539545	C2	19950824	DE 3539545	A	19851107	199538	

Priority Applications (No Type Date): US 85696407 A 19850130
Patent Details:

Patent No	Kind	Lan	Pg	Main IPC	Filing Notes
DE 3539545	A		32		
DE 3539545	C2		15	G06F-017/60	

Abstract (Basic): DE 3539545 A
        The processing system has at least one security for starting an
orderly market with the system **user** acting as principal. It has an
arrangement for receiving transaction orders from **clients** for one or
more securities. Orders contain share identification fields showing the
transaction as a purchase or sale and a certain number of transaction
components.
        The system stores order validation parameters and security data
such as amount of stock, cost and profit. A transaction order is
validated when the received order fields do not conflict with the
stored notification and validation parameters. When the transaction has
been performed the stock and other parameters are updated as
appropriate.
        USE/ADVANTAGE - **Automated** start-up of a market in one or more
securities . Validation and performance of **automated   security
transactions** . (32pp Dwg.No.0/5)
Title Terms: DATA; PROCESS; SYSTEM; AUTOMATIC; SECURE; MARKET; VALID;
  TRANSACTION; ORDER; STORAGE; DATA; UPDATE; DATA; BASE; STOCK
Derwent Class: T01
International Patent Class (Main): **G06F-017/60**
International Patent Class (Additional): G06F-015/21
File Segment: EPI

```
Set      Items    Description
S1         175    AU=(SHAW D? OR SHAW, D? OR KOSOFSKY, D? OR KOSOFSKY D?)
S2      945080    TRADING OR TRANSACT? OR SELL? ? OR SELLING OR BUY? ? OR BU-
                    YING OR ORDER? OR TRADES OR TRADE
S3      308717    SECURITIES OR SECURITY OR STOCK? ? OR BOND? ? OR FINANCIAL-
                    ()INSTRUMENT?
S4       71771    ANONYMOUS? OR UNKNOWN OR UNIDENTIF?
S5      570764    ALERT? OR WARN? OR SIGNAL? OR FLAG? OR TRIGGER?
S6      305166    DEALER? OR BROKER? OR TRADER? OR USER? OR CUSTOMER OR CLIE-
                    NT? OR INVESTOR? OR PARTICIPANT?
S7      817642    COMPUTERI? OR AUTOMAT? OR ELECTRONIC? OR NETWORK? OR ONLINE
                    OR ON()LINE OR WEB? OR INTERNET? OR WWW
S8        9393    S2(3N)S3
S9        1233    S8(5N)S7
S10         83    S9(S)S5
S11        465    S9(20N)S6
S12         10    S11(25N)S4
S13         11    S10(S)S4
S14         19    S12 OR S13
S15          3    S1 AND S9
S16         22    S14 OR S15
S17         22    S16 AND IC=G06F?
? show file
File 348:EUROPEAN PATENTS 1978-2004/Feb W03
          (c) 2004 European Patent Office
File 349:PCT FULLTEXT 1979-2002/UB=20040219,UT=20040212
          (c) 2004 WIPO/Univentio
```

DIALOG(R)File 348:EUROPEAN PATENTS
(c) 2004 European Patent Office. All rts. reserv.

01417629
Payment roaming - payments through various network institutions without regards to time or locations of the payment appliances
Zahlungsroaming - Zahlungen durch mehrere Netzwerkinstitutionen unabhangig vom Zeitpunkt und Ort der Zahlungseinrichtungen
Paiement itinerant - Paiement a travers des reseaux de plusieurs institutions independemment de l'heure et de la localisation des terminals de paiement
PATENT ASSIGNEE:
  Hewlett-Packard Company, A Delaware Corporation, (3016020), 3000 Hanover
    Street, Palo Alto, CA 94304, (US), (Applicant designated States: all)
INVENTOR:
  Villaret, Jean-Marc, 1 Place Gambetta, 75020 Paris, (FR)
  Taylor, William Stuart, 10413 B Merriman Road, Cupertino, CA 95014, (US)
  Ritschel, Kevin, 579 Giant Way, San Jose, CA 95137, (US)
LEGAL REPRESENTATIVE:
  Schoppe, Fritz, Dipl.-Ing. (55463), Schoppe, Zimmermann, Stockeler &
    Zinkler Patentanwalte Postfach 246, 82043 Pullach bei Munchen, (DE)
PATENT (CC, No, Kind, Date):   EP 1197928 A2   020417 (Basic)
                               EP 1197928 A3   040128
APPLICATION (CC, No, Date):   EP 2001124448 011011;
PRIORITY (CC, No, Date): US 688270 001011
DESIGNATED STATES: AT; BE; CH; CY; DE; DK; ES; FI; FR; GB; GR; IE; IT; LI;
  LU; MC; NL; PT; SE; TR
EXTENDED DESIGNATED STATES: AL; LT; LV; MK; RO; SI
INTERNATIONAL PATENT CLASS: G07F-007/10; G07F-019/00; **G06F-017/60**
ABSTRACT WORD COUNT: 125
NOTE:
  Figure number on first page: 1

LANGUAGE (Publication,Procedural,Application): English; English; English
FULLTEXT AVAILABILITY:
Available Text Language   Update   Word Count
     CLAIMS A   (English)   200216   753
     SPEC A   (English)   200216   4871
Total word count - document A   5624
Total word count - document B   0
Total word count - documents A + B   5624

...INTERNATIONAL PATENT CLASS: **G06F-017/60**

...SPECIFICATION community. Consequently, customers of non-members may not
  use appliances of members. Further, because a **customer** may use an
  unknown payment appliance 1044 in public to make payments, trust and
  security are considered in **transactions** using **network** 100 of FIG. 1.
  As trust and security are established between members of the payment...

DIALOG(R)File 349:PCT FULLTEXT
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01056423
DERIVATIVES HAVING DEMAND-BASED, ADJUSTABLE RETURNS, AND TRADING EXCHANGE THEREFOR
PRODUITS DERIVES PRESENTANT DES RENDEMENTS AJUSTABLES BASES SUR LA DEMANDE

ET ECHANGES COMMERCIAUX ASSOCIES
Patent Applicant/Assignee:
  LONGITUDE INC, 650 Fifth Avenue, New York, NY 10019, US, US (Residence),
    US (Nationality)
Inventor(s):
  LANGE Jeffrey, 3 East 84th Street, Apt. 3, New York, NY 10028, US,
  BARON Kenneth, 51 West 86th Street, Apt. 602, New York, NY 10024, US,
Legal Representative:
  WEISS Charles A (et al) (agent), Kenyon & Kenyon, One Broadway, New York,
   - NY 10004, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200385491 A2 20031016 (WO 0385491)
  Application: WO 2003US7990 20030313 (PCT/WO US0307990)
  Priority Application: US 2002115505 20020402
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU
  CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP
  KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ OM PH PL PT RO
  RU SC SD SE SG SK SL TJ TM TN TR TT TZ UA UG UZ VC VN YU ZA ZM ZW
  (EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IT LU MC NL PT RO SE
  SI SK TR
  (OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
  (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZM ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 136258

Main International Patent Class: **G06F**
Fulltext Availability:
  Claims

Claim

 17/3,K/3   (Item 2 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00925642   **Image available**
METHOD AND SYSTEM OF ANONYMOUSLY TRADING SECURITIES ON-LINE
PROCEDE ET SYSTEME PERMETTANT DE NEGOCIER DES TITRES EN LIGNE DE FACON
    ANONYME
Patent Applicant/Assignee:
  BONDMART TECHNOLOGIES INC, 2421 Broadway, 2nd Floor, Redwood City, CA
    94063, US, US (Residence), US (Nationality)
Inventor(s):
  BOWLES Mark E, 30 Tripp Court, Woodside, CA 94062, US,
  TADDEO Nicholas J, 61 Willow Road, Menlo Park, CA 94025, US,
Legal Representative:
  MORGAN LEWIS & BOCKIUS LLP (agent), Boswell, MaryJane, 1111 Pennsylvania
    Avenue, NW, Washington, DC 20004, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200259711 A2-A3 20020801 (WO 0259711)
  Application: WO 2001US44235 20011128 (PCT/WO US0144235)
  Priority Application: US 2000722622 20001128
Designated States: CA JP
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
Publication Language: English
Filing Language: English
Fulltext Word Count: 8845

Main International Patent Class: **G06F-017/60**
Fulltext Availability:
  Detailed Description

Detailed Description
  METHOD AND SYSTEM OF **ANONYMOUSLY** TRADING SECURITIES ON-LINE
  BACKGROUND OF THE INVENTION
  Field of the Invention
  The present invention relates to a method and system of **on - line**
  trading of **securities** , and more particularly, to a method.and system
  of **on - line** **trading** debt **securities** **anonymously** among a
  plurality of **investors** .

  Discussion of the Related Art
  Advances in computer processing power and network communications have
  made...

 17/3,K/4   **(Item 3 from file: 349)**
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00894463
METHOD AND SYSTEM FOR THE ELECTRONIC NEGOTIATION AND EXECUTION OF EQUITY
    BLOCK TRADES FOR INSTITUTIONAL INVESTORS
SYSTEME ET PROCEDE DE NEGOCIATION ELECTRONIQUE ET D'EXECUTION DE
    TRANSACTIONS DE BLOCS D'ACTIONS DESTINES A DES INVESTISSEURS
    INSTITUTIONNELS
Patent Applicant/Assignee:
  D E SHAW & CO INC, 120 West 45 Street, New York, NY 10036, US, US
    (Residence), US (Nationality)
Inventor(s):
  GIANAKOUROS Nicholas P, 371 East Lincoln Avenue, Cranford, NJ 07016, US,
    SHAW David E , 120 West 45th Street, New York, NY 10036, US
Legal Representative:
  MUDGE Brian S (et al) (agent), Kenyon & Kenyon, Suite 700, 1500 K Street,
    N.W., Washington, DC 20005, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200227606 A2 20020404 (WO 0227606)
  Application: WO 2001US29964 20010926 (PCT/WO US0129964)
  Priority Application: US 2000234927 20000926
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU
  CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP
  KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PH PL PT RO RU
  SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
  (OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
  (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 12491

Inventor(s):
... **SHAW David E**
Main International Patent Class: **G06F-017/60**
Fulltext Availability:
  Claims

Claim

... limit;
  a maximum quantity of said financial instrument to be traded;
  a maximum frequency for **trades** in said **financial   instrument** ;
  an instruction permitting **automatic** trading via standing instructions;
  and a designation of said trading alert as being inactive.
  8...limit;
  a maximum quantity of said financial instrument to be traded;
  a maximum frequency for **trades** in said **financial   instrument** ;
  an instruction permitting **automatic** trading via standing instructions;
  and a designation of said trading alert as being inactive.

  35...

 17/3,K/5   (Item 4 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00868219
CREDIT LIMIT STORAGE IN AN ANONYMOUS TRADING SYSTEM
ENREGISTREMENT DES LIMITES DE CREDIT DANS UN SYSTEME DE NEGOCIATION ANONYME
Patent Applicant/Assignee:
  ELECTRONIC BROKING SERVICES LIMITED, 55-56 Lincolns Inn Fields, London
    WC2A 3LJ, GB, GB (Residence), GB (Nationality)
Inventor(s):
  HOWORKA Edward R, 2043 Gates Court, Morris Plains, NJ 07950, US,
  JAIN Neena, 3756 Victory Street, South Plainfield, NJ 07080, US,
  IACCHEO Steven, 41 West William Street, Lincoln Park, NJ 07035, US,
  NEYMAN Vladimir, 275 Northfield Avenue, West Orange, NJ 07052, US,
  SHU James, 42 Tilden Drive, East Hanover, NJ 07936, US,
  MEROLD Michael S, 14 Walkill Road, Sparta, NJ 07871, US,
  CRANE Alastair G, 16 Manley Street, Primrose Hill, London NW1 8LT, GB,
  KRISHNASAMI Srivathsan, Apt. 6D, 528 East 79th Street, New York, NY 10021
    , US,
  MCPHERSON Roy S, 39 Dorset Way, Billericay, Essex CM12 0UD, GB,
  GINSBERG Paul M, 44 Huckleberry Hollow, Stamford, CT 06903, US,
  MILLS Gregory D, 24 Carlton Road, Flanders, NJ 07836, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200201437 A2 20020103 (WO 0201437)
  Application: WO 2001IB1468 20010622 (PCT/WO IB0101468)
  Priority Application: US 2000602496 20000623
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU
  CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR
  KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE
  SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
  (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
  (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 14699

Main International Patent Class: **G06F-017/60**
Fulltext Availability:
  Detailed Description

Detailed Description
... allocations can be transferred
  between credit brokers.
  In one preferred embodiment of the invention, an

automated trading system for **anonymous** **trading** of
instruments, including **financial** **instruments** , comprises a
computer communications **network** having a plurality of
interconnected broking nodes which are connected to one or
more **trader** terminals comprising a trading floor. Each
broking

 17/3,K/6 **(Item 5 from file: 349)**
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00865387 **Image available**
COMPOUND ORDER HANDLING IN AN ANONYMOUS TRADING SYSTEM
GESTION DES ORDRES COMPOSES DANS LE CADRE D'UN SYSTEME DE TRANSACTION
 ANONYME
Patent Applicant/Assignee:
  ELECTRONIC BROKING SERVICES LIMITED, 55-56 Lincolns Inn Fields, London
    WC2A 3LJ, GB, GB (Residence), GB (Nationality)
Inventor(s):
  NEYMAN Vladimir, 275 Northfield Avenue, West Orange, NJ 07052, US,
  IACCHEO Steven, 41 West William Street, Lincoln Park, NJ 07035, US,
  JAIN Neena, 3756 Victory Street, South Plainfield, NJ 07080, US,
  SHU James, 42 Tilden Drive, East Hanover, NJ 07936, US,
  HOWORKA Edward R, 2043 Gates Court, Morris Plains, NJ 07950, US,
  FORWAY Andrew, 21 New Street, Wayne, NJ 07470, US,
  MEROLD Michael S, 14 Walkill Road, Sparta, NJ 07871, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200198963 A2 20011227 (WO 0198963)
  Application: WO 2001IB1476 20010622 (PCT/WO IB0101476)
  Priority Application: US 2000603389 20000623
Designated States: AU CN JP SG
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
Publication Language: English
Filing Language: English
Fulltext Word Count: 13013

Main International Patent Class: **G06F-017/60**
Fulltext Availability:
  Detailed Description

Detailed Description
... of the invention to provide
  a system which can synthesise currency pair prices and
  permit **traders** to hit those synthetic prices.

  An embodiment of the invention provides an **anonymous**
   trading system for **trading** **financial** **instruments** between
   traders comprising a communications **network** for transmitting
  electronic messages. A plurality of **trader** terminals are
  connected to the communications network each for generating
  electronic order messages including bid...

 17/3,K/7 **(Item 6 from file: 349)**
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00815114 **Image available**
METHOD AND SYSTEM FOR REBROKERING ORDERS IN A TRADING SYSTEM

PROCEDE ET SYSTEME DESTINES A RENEGOCIER DES ORDRES DANS UN SYSTEME D'ECHANGE

Patent Applicant/Assignee:
  XBOND CORPORATION, Suite 1200, 6000 Fairview Road, Charlotte, NC 28210,
    US, US (Residence), US (Nationality)
Inventor(s):
  HUGHES Webster, 4807 Pellyn Farm Court, Charlotte, NC 28211, US,
Legal Representative:
  OSTROW Seth H (et al) (agent), Brown Raysman Millstein Felder & Steiner
    LLP, 120 W. 45th Street, New York, NY 10036, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200148668 A1 20010705 (WO 0148668)
  Application: WO 2000US35492 20001228 (PCT/WO US0035492)
  Priority Application: US 99173581 19991229; US 2000178049 20000124; US
    2000201599 20000503; US 2000706678 20001106
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CU CZ DE
  DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC
  LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI
  SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
  (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
  (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 24404

Main International Patent Class: **G06F-017/60**
Fulltext Availability:
  Detailed Description

Detailed Description
... reference to the 25 drawings in the Figures. The primary embodiments
   described below include a 1computerized trading system for the **trading**
   of **bonds** among parties using **broker** **dealers** as intermediaries.

   The system contains software and data structures which, among other
   things, support **anonymous** trading through broker dealers, allow parties
   to have a high degree of control over the...

 17/3,K/8   (Item 7 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00806389
**SCHEDULING AND PLANNING BEFORE AND PROACTIVE MANAGEMENT DURING MAINTENANCE
   AND SERVICE IN A NETWORK-BASED SUPPLY CHAIN ENVIRONMENT**
**PROGRAMMATION ET PLANIFICATION ANTICIPEE, ET GESTION PROACTIVE AU COURS DE
   LA MAINTENANCE ET DE L'ENTRETIEN D'UN ENVIRONNEMENT DU TYPE CHAINE
   D'APPROVISIONNEMENT RESEAUTEE**
Patent Applicant/Assignee:
  ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
    (Residence), US (Nationality)
Inventor(s):
  MIKURAK Michael G, 108 Englewood Boulevard, Hamilton, NJ 08610, US,
Legal Representative:
  HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 38th Floor,
    2029 Century Park East, Los Angeles, CA 90067-3024, US,
Patent and Priority Information (Country, Number, Date):

Patent: WO 200139082 A2 20010531 (WO 0139082)
Application: WO 2000US32228 20001122 (PCT/WO US0032228)
Priority Application: US 99447625 19991122; US 99444889 19991122
Designated States: AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES
   FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD
   MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT UA UG UZ
   VN YU ZW
   (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
   (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
   (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
   (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 152479

Main International Patent Class: **G06F-017/16**
Fulltext Availability:
   Detailed Description

Detailed Description
... systems are known, although virtually none implement complex pricing
   policies.

   Many systenis, especially in the **stock** brokerage area, will provide
   market pricing of **stocks** .

   While these systems can acconimodate a continually changing pnice
   situation, the actual pricing, of course...

 17/3,K/9   (Item 8 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00806384
NETWORK   AND   LIFE   CYCLE ASSET MANAGEMENT IN AN E-COMMERCE ENVIRONMENT AND
   METHOD THEREOF
GESTION D'ACTIFS DURANT LE CYCLE DE VIE ET EN RESEAU DANS UN ENVIRONNEMENT
   DE COMMERCE ELECTRONIQUE ET PROCEDE ASSOCIE
Patent Applicant/Assignee:
   ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
      (Residence), US (Nationality)
Inventor(s):
   MIKURAK Michael G, 108 Englewood Blvd., Hamilton, NJ 08610, US,
Legal Representative:
   HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 38th Floor,
      2029 Century Park East, Los Angeles, CA 90067-3024, US,
Patent and Priority Information (Country, Number, Date):
 · Patent: WO 200139030 A2 20010531 (WO 0139030)
   Application: WO 2000US32324 20001122 (PCT/WO US0032324)
   Priority Application: US 99444775 19991122; US 99447621 19991122
Designated States: AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CU CZ DE DK
 . DZ EE ES FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT
   LU LV MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR
   TT UA UG UZ VN YU ZW
   (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
   (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
   (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
   (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English

Fulltext Word Count: 171499

Main International Patent Class: **G06F-017/60**
Fulltext Availability:
  Detailed Description

Detailed Description
... in an interactive customer support scenario-, Figure 118 illustrates
an exemplary security architecture in a **customer** support scenario;
Figure 119 depicts a sample architecture in an **online** banking scenario;
Figure 120 shows an exemplary **security** architecture in an **online**
banking scenario; Figure 121 illustrates a sample architecture in an
online shopping scenario; Figure 122...of conventions for using networks
that allow the computers they reach to interact. Physically, the
Internet is a huge, global **network** spanning over 92 countries and
comprising 59,000 academic, commercial, government, and military
networks, according...

 17/3,K/10   (Item 9 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00806383
**COLLABORATIVE CAPACITY PLANNING AND REVERSE INVENTORY MANAGEMENT DURING
    DEMAND AND SUPPLY PLANNING IN A NETWORK-BASED SUPPLY CHAIN ENVIRONMENT
    AND METHOD THEREOF**
**PLANIFICATION EN COLLABORATION DES CAPACITES ET GESTION ANTICIPEE DES
    STOCKS LORS DE LA PLANIFICATION DE L'OFFRE ET DE LA DEMANDE DANS UN
    ENVIRONNEMENT DE CHAINE D'APPROVISIONNEMENT FONDEE SUR LE RESEAU ET
    PROCEDE ASSOCIE**
Patent Applicant/Assignee:
  ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
    (Residence), US (Nationality)
Inventor(s):
  MIKURAK Michael G, 108 Englewood Blvd., Hamilton, NJ 08610, US,
Legal Representative:
  HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 1400 Page Mill
    Road, Palo Alto, CA 94304, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200139029 A2 20010531 (WO 0139029)
  Application: WO 2000US32309 20001122 (PCT/WO US0032309)
  Priority Application: US 99444655 19991122; US 99444886 19991122
Designated States: AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE
  DK DM DZ EE ES FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR
  LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL
  TJ TM TR TT TZ UA UG UZ VN YU ZW
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
  (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
  (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 157840

Main International Patent Class: **G06F-017/60**
Fulltext Availability:
  Detailed Description

Detailed Description

... to devise intelligent network solutions for this data traffic (example
RAS with SS7 gateway) in **order** to solve two major challenges: 1) off
loading data traffic from the voice infrastructure to...then classify
future records, referred to as test data, for which the class labels are
unknown .
As an example, consider the case where a credit card company which has a
large...

17/3,K/11   (Item 10 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00805499   **Image available**
METHOD FOR PROVIDING ON-LINE BROKERAGE SERVICES TO INSTITUTIONS
PROCEDE POUR OFFRIR DES SERVICES DE COURTAGE EN LIGNE AUX INSTITUTIONS
Patent Applicant/Assignee:
  BLUESTONE CAPITAL PARTNERS L P, 59 Maiden Lane, New York, NY 10038, US,
    US (Residence), US (Nationality), (For all designated states except:
    US)
Patent Applicant/Inventor:
  MUSTAFA Kamal, 7 Wildwood Drive, North Caldwell, NJ 07006, US, US
    (Residence), US (Nationality), (Designated only for: US)
  HILL Jeremy, 853 Seventh Avenue, Apt. 6E, New York, NY 10019, US, US
    (Residence), US (Nationality), (Designated only for: US)
Legal Representative:
  KAPPEL Cary S (agent), Davidson, Davidson & Kappel, LLC, 15th Floor, 1140
    Avenue of the Americas, New York, NY 10036, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200139094 A1 20010531 (WO 0139094)
  Application: WO 2000US41767 20001102 (PCT/WO US0041767)
  Priority Application: US 99164178 19991109; US 2000487438 20000119
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ
  DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ
  LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG
  SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
  (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
  (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 3990

Main International Patent Class: **G06F-017/60**
Fulltext Availability:
  Detailed Description

Detailed Description
... many fin-ns,
  such SCHWAB.COM, E*TRADE, TRADE.COM and MERRILL LYNCH
  permit individual **investors** to buy and **sell** U.S. **stocks** or bonds
  on - line , for
  example over the Intemet. The orders are placed using an HTML graphic
  interface at a **client** computer of the **client** , and are sent
  electronically over the Intemet to a server of the brokerage firm. An
  on-line equities broker, often **unknown** to the client, reviews the order
  for compliance, and then the order is executed through...

DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00803566   **Image available**
**METHOD AND APPARATUS FOR THE RECEIPT, COMBINATION, AND EVALUATION OF EQUITY
    PORTFOLIOS FOR EXECUTION BY A SPONSOR AT PASSIVELY DETERMINED PRICES**
**METHODE ET APPAREIL PERMETTANT DE RECEVOIR, COMBINER ET EVALUER DES
    PORTEFEUILLES DE PARTICIPATIONS EN CAPITAL POUR EXECUTION PAR UN
    COMMANDITAIRE A DES PRIX DETERMINES DE MANIERE PASSIVE**
Patent Applicant/Assignee:
  D E SHAW & CO INC, 39th floor, 120 West 45th Street, New York, NY 10036,
    US, US (Residence), US (Nationality)
Inventor(s):
  GIANAKOUROS Nicholas P, 371 East Lincoln Avenue, Cranford, NJ 07016, US,
    SHAW David E , 120 West 45th Street, New York, NY 10036, US
Legal Representative:
  ROSINI James E (et al) (agent), Kenyon & Kenyon, Suite 700, 1500 K
    Street, N.W., Washington, DC 20005, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200137122 A2 20010525 (WO 0137122)
  Application: WO 2000US31565 20001117 (PCT/WO US0031565)
  Priority Application: US 99165934 19991117
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE
  DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC
  LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI
  SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
  (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
  (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 11613

Inventor(s):
...   **SHAW David E**
Main International Patent Class: **G06F-017/60**
Fulltext Availability:
  Detailed Description

Detailed Description
... PRICES
  FIELD OF THE INVENTION
  The present invention is directed to a system for the **electronic
  trading** of **financial   instruments** , and in particular, a system and
  method for the receipt, combination, and evaluation of equity...

DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00801789   **Image available**
CELL-BASED BROKERAGE SYSTEM AND METHOD
SYSTEME ET PROCEDE DE COURTAGE A CELLULES
Patent Applicant/Assignee:
  BLUESTONE CAPITAL PARTNERS L P, 59 Maiden Lane, New York, NY 10038, US,
    US (Residence), US (Nationality), (For all designated states except:
    US)

Patent Applicant/Inventor:
  MUSTAFA Kamal, 7 Wildwood Drive, North Caldwell, NJ 07006, US, US
    (Residence), US (Nationality), (Designated only for: US)
  HILL Jeremy, 853 Seventh Avenue, Apt. 6E, New York, NY 10019, US, US
    (Residence), US (Nationality), (Designated only for: US)
Legal Representative:
  KAPPEL Cary S (agent), Davidson, Davidson & Kappel, LLC, 15th Floor, 1140
    Avenue of the Americas, New York, NY 10036, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200135313 A1 20010517 (WO 0135313)
  Application: WO 2000US41783 20001102 (PCT/WO US0041783)
  Priority Application: US 99164178 19991109; US 2000487112 20000119
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ
  DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ
  LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG
  SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
  (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
  (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 8013

Main International Patent Class: **G06F-017/60**
Fulltext Availability:
  Detailed Description

Detailed Description
... many fir-Ms, such
  SCHWAB.COM, E*TRADE, TRADE.COM and MERRILL LYNCH permit
  individual **investors** to buy and **sell** U.S. **stocks** or bonds over the
  Internet . The orders are placed using an HTML graphic interface at a
  client computer of the **client** , and are sent electronically over the
  Internet to a server of the brokerage firm. An online equities broker,
  often **unknown** to the client, reviews the order for compliance, and then
  the order is executed through...

 17/3,K/14   (Item 13 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00788823   **Image available**
**METHOD AND SYSTEM FOR FACILITATING AUTOMATED INTERACTION OF MARKETABLE
    RETAIL ORDERS AND PROFESSIONAL TRADING INTEREST AT PASSIVELY DETERMINED
    PRICES**
**PROCEDE ET SYSTEME PERMETTANT DE FACILITER L'INTERACTION INFORMATISEE DES
    ORDRES DE NEGOCIATION DES PARTICULIERS ET DE LA PARTICIPATION AU MARCHE
    PROFESSIONNEL A DES COURS DETERMINES DE FACON PASSIVE**
Patent Applicant/Assignee:
  D E SHAW & CO INC, 120 West 45th Street, 39th Floor, New York, NY 10036,
    US, US (Residence), US (Nationality)
Inventor(s):
  GIANAKOUROS Nicholas P, 371 East Lincoln Avenue, Cranford, NJ 07016, US,
    SHAW David E , 120 West 45th Street, New York, NY 10036, US
Legal Representative:
  ROSINI James E (et al) (agent), Kenyon & Kenyon, Suite 700, 1500 K
    Street, Washington, DC 20005, US,
Patent and Priority Information (Country, Number, Date):

```
Patent:                WO 200122339 A2 20010329 (WO 0122339)
Application:           WO 2000US26299 20000925  (PCT/WO US0026299)
Priority Application: US 99155643 19990924; US 2000565444 20000505
```
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE
 DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC
 LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI
 SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
 (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
 (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
 (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
 (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 31230

Inventor(s):
... **SHAW David E**
Main International Patent Class: **G06F-017/60**
Fulltext Availability:
 Detailed Description

Detailed Description
... AT PASSIVELY DETERMINED
 PRICES
 FIELD OF THE INVENTION
 The present invention is directed to a **network** for the **electronic**
 trading of **financial** **instruments** , and in particular, a system and
 method for automatically executing marketable retail orders against
 standing...

 17/3,K/15   (Item 14 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00784185   **Image available**
A SYSTEM AND METHOD FOR STREAM-BASED COMMUNICATION IN A COMMUNICATION
    SERVICES PATTERNS ENVIRONMENT
SYSTEME, PROCEDE ET ARTICLE DE PRODUCTION FOURNISSANT UN SYSTEME -DE
    COMMUNICATION EN CONTINU DANS UN ENVIRONNEMENT DE CONFIGURATIONS-DE
    SERVICES DE COMMUNICATION
Patent Applicant/Assignee:
 ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
    (Residence), US (Nationality)
Inventor(s):
 BOWMAN-AMUAH Michel K, 6426 Peak Vista Circle, Colorado Springs, CO 80918
    , US,
Legal Representative:
 HICKMAN Paul L (agent), Hickman Coleman & Hughes, LLP, P.O. Box 52037,
    Palo Alto, CA 94303-0746, US,
Patent and Priority Information (Country, Number, Date):
 Patent: WO 200117195 A2-A3 20010308 (WO 0117195)
 Application: WO 2000US24125 20000831 (PCT/WO US0024125)
 Priority Application: US 99386717 19990831
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ
 DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ
 LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG
 SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
 (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
 (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

```

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 150532

International Patent Class: **G06F-017/22** ...
Fulltext Availability:
  Detailed Description

Detailed Description
... runs.

  It includes components such as.

  Application messaging
  Batch processing architecture
  Middleware
  Reporting
  Error handling
  **On - line** architecture
  **Security**
  Code / decode
  Data access methods
  Integrated help
  File transfer capabilities
  Directory services
  35
  Load balancing...


 **17/3,K/16      (Item 15 from file: 349)**
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00784139
·A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR A SELF-DESCRIBING STREAM IN
    A COMMUNICATION SERVICES PATTERNS ENVIRONMENT
·SYSTEME,   PROCEDE   ET   ARTICLE   DE   FABRICATION   DESTINES   A   UN   FLUX
    D'AUTODESCRIPTEURS  DANS  UN  ENVIRONNEMENT  DE  MODELES DE SERVICES DE
    COMMUNICATION
Patent Applicant/Assignee:
  ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
    (Residence), US (Nationality)
Inventor(s):
  BOWMAN-AMUAH Michel K, 6426 Peak Vista Circle, Colorado Springs, CO 80918
    , US,
Legal Representative:
  HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 1400 Page Mill
    Road, Palo Alto, CA 94304, US,
Patent and Priority Information (Country, Number, Date):
  Patent:            WO 200116734 A2-A3 20010308 (WO 0116734)
  Application:       WO 2000US23999 20000831  (PCT/WO US0023999)
  Priority Application: US 99387070 19990831
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ
  DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ
  LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG
  SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
  (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

Publication Language: English
Filing Language: English
Fulltext Word Count: 150532

International Patent Class:  **G06F-017/22** ...
Fulltext Availability:
  Detailed Description

Detailed Description
...  runs.

  It includes components such as.

  Application messaging
  Batch processing architecture
  Middleware
  Reporting
  Error handling
  **On - line**  architecture
  **Security**
  Code / decode
  Data access methods
  Integrated help
  File transfer capabilities
  Directory services
  35
  Load balancing...


 **17/3,K/16       (Item 15 from file: 349)**
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00784139
**A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR A SELF-DESCRIBING STREAM IN
    A COMMUNICATION SERVICES PATTERNS ENVIRONMENT**
SYSTEME,   PROCEDE   ET   ARTICLE   DE   FABRICATION   DESTINES   A   UN   FLUX
    D'AUTODESCRIPTEURS   DANS   UN   ENVIRONNEMENT   DE   MODELES   DE   SERVICES   DE
    COMMUNICATION
Patent Applicant/Assignee:
  ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
    (Residence), US (Nationality)
Inventor(s):
  BOWMAN-AMUAH Michel K, 6426 Peak Vista Circle, Colorado Springs, CO 80918
    , US,
Legal Representative:
  HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 1400 Page Mill
    Road, Palo Alto, CA 94304, US,
Patent and Priority Information (Country, Number, Date):
  Patent:              WO 200116734 A2-A3 20010308 (WO 0116734)
  Application:         WO 2000US23999 20000831  (PCT/WO US0023999)
  Priority Application: US 99387070 19990831
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ
  DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ
  LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG
  SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
  (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 150517

Main International Patent Class: **G06F-009/46**
Fulltext Availability:
  Detailed Description

Detailed Description
... a tool for decision support.

  Limitations.

  Limited/cost prohibitive Scalability
  Limited availability
  Limited reliability
  65
   **Security** Deficiencies
   **Network** /Database bottlenecks
  Low implementation flexibility
  Limited Asynchronous processing
  Three-Tiered or multi-tiered Architectures
  Three...


**17/3,K/17      (Item 16 from file: 349)**
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00784132
**A SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR A LEGACY WRAPPER IN A**
    **COMMUNICATION SERVICES PATTERNS ENVIRONMENT**
**SYSTEME, PROCEDE ET DISPOSITIF POUR MODULE D'HABILLAGE EXISTANT DANS UN**
    **ENVIRONNEMENT DE SCHEMAS DE SERVICES DE COMMUNICATION**
Patent Applicant/Assignee:
  ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
    (Residence), US (Nationality)
Inventor(s):
  BOWMAN-AMUAH Michel K, 6426 Peak Vista Circle, Colorado Springs, CO 80918
  , US,
Legal Representative:
  HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, 1400 Page Mill
    Roadast, Palo Alto, CA 94304, US,
Patent and Priority Information (Country, Number, Date):
  Patent:              WO 200116724 A2-A3 20010308 (WO 0116724)
  Application:         WO 2000US24084 20000831  (PCT/WO US0024084)
  Priority Application: US 99386834 19990831
Designated States: AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CU CZ DE DK
  DZ EE ES FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT
  LU LV MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR
  TT UA UG UZ VN YU ZW
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
  (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
  (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 150947

Main International Patent Class: **G06F-009/44**
International Patent Class: **G06F-009/46**
Fulltext Availability:
  Detailed Description

Detailed Description
... runs.

  It includes components such as.

  Application messaging
  Batch processing architecture
  Middleware
  Reporting
  Error handling
   **On - line** architecture
   **Security**
  Code / decode
  Data access methods
  Integrated help
  File transfer capabilities
  Directory services
  35
  Load balancing...


 **17/3,K/18      (Item 17 from file: 349)**
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00784126
**SYSTEM,  METHOD,  AND ARTICLE OF MANUFACTURE FOR AN EXCEPTION RESPONSE TABLE
   IN ENVIRONMENT SERVICES PATTERNS**
**SYSTEME,  PROCEDE  ET ARTICLE DE PRODUCTION DESTINES A UNE TABLE DE REPONSE
   D'EXCEPTION DANS DES CONFIGURATIONS DE SERVICES D'ENVIRONNEMENT**
Patent Applicant/Assignee:
  ACCENTURE LLP, 1661 Page Mill Road, Palo Alto, CA 94304, US, US
   (Residence), US (Nationality)
Inventor(s):
  BOWMAN-AMUAH Michel K, 6426 Peak Vista Circle, Colorado Springs, CO 80918
   , US,
Legal Representative:
  HICKMAN Paul L (et al) (agent), Oppenheimer Wolff & Donnelly LLP, 38th
   Floor, 2029 century Park East, Los Angeles, CA 90067-3024, US,
Patent and Priority Information (Country, Number, Date):
  Patent:            WO 200116706 A2-A3 20010308 (WO 0116706)
  Application:       WO 2000US24086 20000831  (PCT/WO US0024086)
  Priority Application: US 99387873 19990831
Designated States: AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CU CZ DE DK
  DZ EE ES FI GB GE GH GM HR HU ID IL IS JP KE KG KP KR KZ LC LK LR LS LT
  LU LV MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR
  TT UA UG UZ VN YU ZW
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
  (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
  (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 150318

Main International Patent Class:  **G06F-009/44**
Fulltext Availability:
  Detailed Description

Detailed Description
...  runs.

   It includes components such as.

   Application messaging
   Batch processing architecture
   Middleware
   Reporting
   Error handling
    **On - line**  architecture
    **Security**
   Code / decode
   Data access methods
   Integrated help
   File transfer capabilities
   Directory services
   35
   Load balancing...simply a tool for decision support.

   Limitations.

   Limited/cost prohibitive Scalability
   Limited availability
   Limited reliability
    **Security**  Deficiencies
    **Network** /Database bottlenecks
   Low implementation flexibility
   Limited Asynchronous processing
   Three-Tiered or multi-tiered Architectures
   Three...


   **17/3,K/19      (Item 18 from file: 349)**
DIALOG(R)File 349:PCT FULLTEXT

00777020
**A  SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR RESOURCE ADMINISTRATION IN
    AN E-COMMERCE TECHNICAL ARCHITECTURE**
**SYSTEME, PROCEDE ET ARTICLE MANUFACTURE POUR L'ADMINISTRATION DE RESSOURCES
    DANS UNE ARCHITECTURE TECHNIQUE DE COMMERCE ELECTRONIQUE**
Patent Applicant/Assignee:
  ACCENTURE LLP, Parkstraat 83, NL-2514 JG 'S Gravenhage, NL, NL
    (Residence), NL (Nationality), (For all designated states except: US)
Patent Applicant/Inventor:
  UNDERWOOD Roy A, 4436 Hearthmoor Court, Long Grove, IL 60047, US, US
    (Residence), US (Nationality), (Designated only for: US)
Legal Representative:
  HICKMAN Paul L (agent), Oppenheimer Wolff & Donnelly, LLP, P.O. Box
    52037, Palo Alto, CA 94303-0746, US,
Patent and Priority Information (Country, Number, Date):
  Patent:            WO 200109791 A2-A3 20010208 (WO 0109791)
  Application:       WO 2000US20547 20000728  (PCT/WO US0020547)
  Priority Application: US 99364161 19990730
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ

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DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ
LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG
SI SK SL TJ TM TR TT TZ UA UG US UZ VN YU ZA ZW
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM
```
Publication Language: English
Filing Language: English
Fulltext Word Count: 136396

Main International Patent Class: **G06F-009/46**
International Patent Class: **G06F-009/44 ...**

**... G06F-017/60**
Fulltext Availability:
  Detailed Description

Detailed Description
...  the primary interface through which applications invoke Transaction
  Services and receive status and error information. **Transaction** Monitor
  Services, in conjunction with Information Access and Communication
  Services provide for load balancing across...


**17/3,K/20      (Item 19 from file: 349)**
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00761432
**METHODS, CONCEPTS AND TECHNOLOGY FOR DYNAMIC COMPARISON OF PRODUCT FEATURES
    AND CUSTOMER PROFILE**
**PROCEDES,    CONCEPTS    ET    TECHNIQUE    DE    COMPARAISON    DYNAMIQUE    DE
    CARACTERISTIQUES D'UN PRODUIT ET DU PROFIL DES CONSOMMATEURS**
Patent Applicant/Assignee:
  ACCENTURE LLP, 100 South Wacker Drive, Chicago, IL 60606, US, US
    (Residence), US (Nationality)
Inventor(s):
  GUHEEN Michael F, 2218 Mar East Street, Tiburon, CA 94920, US,
  MITCHELL James D, 3004 Alma, Manhattan Beach, CA 90266, US,
  BARRESE James J, 757 Pine Avenue, San Jose, CA 95125, US,
Legal Representative:
  BRUESS Steven C (agent), Merchant & Gould P.C., P.O. Box 2903,
    Minneapolis, MN 55402-0903, US,
Patent and Priority Information (Country, Number, Date):
  Patent:             WO 200073958 A2 20001207  (WO 0073958)
  Application:        WO 2000US14459 20000524   (PCT/WO US0014459)
  Priority Application: US 99320818 19990527
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE
  DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC
  LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI
  SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
  (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
  (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 151011

Main International Patent Class: **G06F-017/60**
Fulltext Availability:
  Detailed Description

Detailed Description
... users have a notoriously short concentration span.

  This requirement for more attractive user interfaces has **triggered** the
  evolution of media-rich applications, the development of which requires
  new tools and processes...


 **17/3,K/21      (Item 20 from file: 349)**
DIALOG(R)File 349:PCT FULLTEXT
(c) 2004 WIPO/Univentio. All rts. reserv.

00757130    **Image available**
**METHOD AND SYSTEM FOR ANONYMOUSLY AND CONFIDENTIALLY MATCHING CONTRAPARTIES
    TO  A TRANSACTION WHICH RESULTS IN HUMAN NEGOTIATION OF THE FINAL TERMS
    OF A TRANSACTION**
**PROCEDE   ET   SYSTEME D'APPARIEMENT ANONYME ET CONFIDENTIEL DE CONTREPARTIES
    POUR  UNE   TRANSACTION  DEBOUCHANT  SUR UNE RENCONTRE POUR NEGOCIER LES
    CONDITIONS DEFINITIVES DE LA TRANSACTION**
Patent Applicant/Assignee:
  JEFFERIES & COMPANY INC, 11100 Santa Monica Boulevard, 11th Floor, Los
    Angeles, CA 90025, US, US (Residence), US (Nationality)
Inventor(s):
  SHAW John C, 12 Bluewater Hill, Westport, CT 06880, US,
  HOLWAY Richard A, 89 Bacon Street, Winchester, MA 01890, US,
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Patent and Priority Information (Country, Number, Date):
  Patent:              WO 200070518 A2 20001123 (WO 0070518)
  Application:         WO 2000US13069 20000512  (PCT/WO US0013069)
  Priority Application: US 99134207 19990514
Designated States: AE AG AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE
  DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC
  LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK
  SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
  (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
  (AP) GH GM KE LS MW SD SL SZ TZ UG ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 7205

Main International Patent Class: **G06F-017/60**
Fulltext Availability:
  Detailed Description

Detailed Description
... recent years. This growth, fueled in
  I

part by the more prevalent use of the **Internet** by individual **investors** for **buying** and **selling** **securities** , and in part by the overall increase in market activity, has resulted in a variety of different computer systems that **anonymously** match buyers and sellers to execute trades. Through several well established trading systems such as...


**17/3,K/22** **(Item 21 from file: 349)**
DIALOG(R)File 349:PCT FULLTEXT
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00344642
**SYSTEMS AND METHODS FOR SECURE TRANSACTION MANAGEMENT AND ELECTRONIC RIGHTS PROTECTION**
**SYSTEMES ET PROCEDES DE GESTION SECURISEE DE TRANSACTIONS ET DE PROTECTION ELECTRONIQUE DES DROITS**
Patent Applicant/Assignee:
 ELECTRONIC PUBLISHING RESOURCES INC,
Inventor(s):
 GINTER Karl L,
 SHEAR Victor H,
 SPAHN Francis J,
 VAN WIE David M,
Patent and Priority Information (Country, Number, Date):
 Patent:              WO 9627155 A2 19960906
 Application:         WO 96US2303 19960213   (PCT/WO US9602303)
 Priority Application: US 95388107 19950213
Designated States: AL AM AT AU AZ BB BG BR BY CA CH CN CZ DE DK EE ES FI GB
 GE HU IS JP KE KG KP KR KZ LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL
 PT RO RU SD SE SG SI SK TJ TM TR TT UA UG UZ VN KE LS MW SD SZ UG AZ BY
 KG KZ RU TJ TM AT BE CH DE DK ES FR GB GR IE IT LU MC NL PT SE BF BJ CF
 CG CI CM GA GN ML MR NE SN TD TG
Publication Language: English
Fulltext Word Count: 207972

Main International Patent Class:  **G06F-001/00**
International Patent Class:  **G06F-17:60**
Fulltext Availability:
 Detailed Description

Detailed Description
... participants to one another.

 Information utility 200 may include a "transaction
 processor' 200b that processes **transactions** (to transfer
 **electronic** fimds, for example) based on requests from
 participants and/or report receiver 200e. It may...

...explained above, virtual distribution environment 100
 can be used to manage almost any sort of **transaction** . One type
 of important transaction that virtual distribution environment
 100 may be used to manage...participants. As one example, 'rules and
 controls"
 can cause content usage information to be reported **anonymously**
 - 169
 without revealing content user identity, or it can reveal only
 certain information to certain...

```
Set      Items    Description
S1        1565    AU=(SHAW D? OR SHAW, D? OR KOSOFSKY, D? OR KOSOFSKY D?)
S2     2518560    TRADING OR TRANSACT? OR SELL? ? OR SELLING OR BUY? ? OR BU-
                     YING OR ORDER? OR TRADES OR TRADE
S3      828449    SECURITIES OR SECURITY OR STOCK? ? OR BOND? ? OR FINANCIAL-
                     ()INSTRUMENT?
S4      128400    ANONYMOUS? OR UNKNOWN OR UNIDENTIF?
S5       83484    ALERT? OR FLAG? OR TRIGGER?
S6     1010538    DEALER? OR BROKER? OR TRADER? OR USER? OR CUSTOMER OR CLIE-
                     NT? OR INVESTOR? OR PARTICIPANT?
S7     2672944    COMPUTERI? OR AUTOMAT? OR ELECTRONIC? OR NETWORK? OR ONLINE
                     OR ON()LINE OR WEB? OR INTERNET? OR WWW
S8       86389    S2(5N)S3
S9        4236    S8(5N)S7
S10        158    S5(10N)OPPORTUNIT?
S11          0    S10 AND S9
S12        163    S8(20N)S5
S13         51    S12 AND (S4 OR S6)
S14         37    S13 NOT PY>2000
S15         32    RD (unique items)
? show file
File  2:INSPEC 1969-2004/Feb W3
         (c) 2004 Institution of Electrical Engineers
File  35:Dissertation Abs Online 1861-2004/Jan
         (c) 2004 ProQuest Info&Learning
File  65:Inside Conferences 1993-2004/Feb W4
         (c) 2004 BLDSC all rts. reserv.
File  99:Wilson Appl. Sci & Tech Abs 1983-2004/Jan
         (c) 2004 The HW Wilson Co.
File 233:Internet & Personal Comp. Abs. 1981-2003/Sep
         (c) 2003 EBSCO Pub.
File 474:New York Times Abs 1969-2004/Feb 23
         (c) 2004 The New York Times
File 475:Wall Street Journal Abs 1973-2004/Feb 23
         (c) 2004 The New York Times
File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13
         (c) 2002 The Gale Group
File 256:SoftBase:Reviews,Companies&Prods. 82-2004/Jan
         (c)2004 Info.Sources Inc
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15/5/1   (Item 1 from file: 2)
DIALOG(R)File   2:INSPEC
(c) 2004 Institution of Electrical Engineers. All rts. reserv.

6051187   INSPEC Abstract Number: C9811-6160Z-017
   Title: **Transaction management mechanisms for active and real-time databases: a comprehensive protocol and a performance study**
   Author(s): Konana, P.; Ram, S.

   Author Affiliation: Dept. of Manage. Sci. & Inf. Syst., Texas Univ., Austin, TX, USA

   Abstract: Active and real-time databases (ARTDB) have a variety of applications in electronic **brokerages** in financial markets, **stock trading**, network management and manufacturing process control. Transaction processing (TP) in ARTDB is extremely complicated since transactions may **trigger** other real-time transactions to an arbitrary depth with various types of dependencies (coupling modes). Therefore, transaction processing must be cognizant of not only the time deadlines but also the types of semantic dependencies with other transactions. The conflict resolution between two transactions cannot be considered in isolation since affecting one transaction may affect every other semantically dependent transaction. Similarly, transaction scheduling needs to be compatible with the concurrency control to avoid unnecessary restarts. The authors argue that transaction pre-analysis using the pre-declaration paradigm is an efficient mechanism to integrate the various issues of transaction processing such as concurrency control, scheduling, and semantic dependencies. The pre-analysis is possible since in many applications transactions repeat from a set of transaction classes, and the conflicts can be easily determined at a logical level by partitioning relations into mutually exclusive subset (e.g., by stock-id in financial applications). They develop a pre-analysis based transaction processing mechanism called OCCWB. OCCWB is an extended optimistic concurrency control protocol with blocking that combines the benefits of both optimistic and lock based protocols. (50 Refs)

   Subfile: C
   Descriptors: active databases; concurrency control; protocols; real-time systems; scheduling; temporal databases; transaction processing
   Identifiers: transaction management mechanisms; active databases; real-time databases; electronic **brokerages** ; financial markets; stock trading; network management; manufacturing process control; transaction processing; time deadlines; semantic dependencies; conflict resolution; transaction pre-analysis; pre-declaration paradigm; concurrency control; scheduling; transaction classes; mutually exclusive subset; partitioning relations; pre-analysis based transaction processing mechanism; OCCWB; extended optimistic concurrency control protocol; blocking; lock based protocols
   Class Codes: C6160Z (Other DBMS); C6130 (Data handling techniques); C6160K (Deductive databases)

1056900   ORDER NO: AAD89-07605
PREDICTIVE ASPECTS OF STOCK INDEX FUTURES: A STUDY OF THE MAJOR MARKET INDEX
  Author: SWINNERTON, EUGENE A.
  Degree: PH.D.
  Year: 1988
  Corporate Source/Institution: KENT STATE UNIVERSITY (0101)
  DIRECTOR: RICHARD J. CURCIO
  Source: VOLUME 50/01-A OF DISSERTATION ABSTRACTS INTERNATIONAL.
        . PAGE 220. 189 PAGES
  Descriptors: ECONOMICS, FINANCE
  Descriptor Codes: 0508

      Stock index arbitrage, a form of program trading, involves the
simultaneous **buying** (**selling**) of **stock** index futures and the **selling**
(**buying**) of the corresponding underlying **stock** index to generate
returns which are near riskless. Such arbitrage activity is **triggered** by
the occurrence of mispricings of the stock index futures relative to their
theoretical price. The theoretical value of a stock index future is the
cash index price enhanced by the interest earned at the market rate less
the dividends foregone at the dividend rate on the index portfolio.
      These stock index arbitrage trading activities entail massive intraday
transactions involving the stock indexes and their corresponding futures.
It is hypothesized that such large transactions create short-term supply
and/or demand imbalances in the arbitrageable stock indexes and futures,
possibly affecting price changes in these securities. This dissertation,
using regression analysis, empirically tests the ability of a wide range of
arbitrageable futures mispricings, both positive and negative, to predict
the intraday changes of the underlying stock index and the futures. Data on
the Major Market Index were employed.
      The results indicate that futures mispricings are moderate predictors
of intraday stock index price changes for up to 20 minutes lead time with
the positive mispricings significantly outperforming the negative
mispricings. The relatively weaker predictive performance of the negative
mispricings implies that less undervaluation versus over-valuation
arbitrage occurs and/or institutional **traders** act less in concert with
each other when initiating undervaluation strategies. This phenomenon is
most likely due to the up-tic rule governing short sales of stocks which
impedes the achievement of simultaneity in selling stocks and buying
futures for **traders** required to short sell stocks to effect the
undervaluation strategy. Other results indicate that the futures
mispricings are very weak predictors of subsequent intraday futures price
changes. Expiration day predictive behavior was found to be significantly
different from non-expiration days with regard to the prediction of cash
index price changes. As for futures price changes, however, no significant
difference between predictive characteristics on expiration versus
non-expiration days were discovered.

  15/5/3   (Item 1 from file: 474)

07812746   NYT Sequence Number: 912875000625
NOT EVERY INVESTMENT IS A VOTE OF CONFIDENCE
Morgenson, Gretchen
New York Times, Col. 1, Pg. 1, Sec. 3

                    Bode Akintola24-Feb-04

Sunday June 25 2000
DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:
     Gretchen Morgenson Market Watch column notes shares of MicroStrategy
Inc rose 41 percent on news that it would get financing from an outside
investor , but fell 20 percent after Promethean Asset Management invested
$125 million convertible preferred stock that will give it 4 percent stake
in company; notes preferred **investors** ' interests are counter to those of
common stockholders; preferred **investors** may be content with dividends if
stock is rising, but can convert at will, diluting other shareholders'
stakes, if stock falls to **trigger** level; some companies report
significant short **selling** of their **stock** after such deals; graph (M)

SPECIAL FEATURES: Graph
COMPANY NAMES: Microstrategy Inc; Promethean Asset Management
DESCRIPTORS: Stocks and Bonds; Stocks and Bonds
PERSONAL NAMES: Morgenson, Gretchen

 15/5/4   (Item 2 from file: 474)
DIALOG(R)File 474:New York Times Abs
(c) 2004 The New York Times. All rts. reserv.

07715975   NYT Sequence Number: 815691991006
AMERICA EXPRESS'S WEB BROKER **TO SET SIGHTS ON WEALTHY** CLIENTS
Reuters
New York Times, Col. 3, Pg. 19, Sec. C
Wednesday October 6 1999
DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English.
RECORD TYPE: Abstract

ABSTRACT:
     American Express Co says it will turn its **flagging** on-line **brokerage**
 business into new Web **broker** with lower commissions and free **stock**
 trades for wealthy **clients** later in year; new unit, American Express
Brokerage , will charge customers $14.95 trade for up to 3,000 shares on
each order (S)

COMPANY NAMES: American Express Co; American Express **Brokerage**
DESCRIPTORS: Stocks and Bonds; Prices (Fares, Fees and Rates); **Brokers**
  and **Brokerage** Firms; Computers and the Internet

 15/5/5   (Item 3 from file: 474)
DIALOG(R)File 474:New York Times Abs
(c) 2004 The New York Times. All rts. reserv.

05558037   NYT Sequence Number: 107380891114
DON'T BLAME PROGRAM TRADING
New York Times, Col. 1, Pg. 30, Sec. 1
Tuesday November 14 1989
DOCUMENT TYPE: Newspaper; Editorial JOURNAL CODE: NYT LANGUAGE:
English   RECORD TYPE: Abstract

ABSTRACT:
     Editorial rejecting program **trading** as villain in **stock** -market
volatility says use of computer programs to **trigger** massive **stock**
trades stabilizes financial markets and benefits **investors** ; says

specific abuses can be curbed without sweeping new regulation

DESCRIPTORS: STOCKS AND BONDS; STOCK PRICES AND TRADING VOLUME; REGULATION
   AND DEREGULATION OF INDUSTRY; EDITORIALS; DATA PROCESSING (COMPUTERS)

   15/5/6   (Item 4 from file: 474)
DIALOG(R)File 474:New York Times Abs
(c) 2004 The New York Times. All rts. reserv.

05529027   NYT Sequence Number: 094060890423
PHILIPPINE REBELS SAY THEY KILLED US COLONEL
New York Times, Col. 1, Pg. 4, Sec. 1
Sunday April 23 1989
DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:
    Communist rebels in Philippines say they killed American army officer,
Col James N Rowe, because he was 'direct **participant** ' in Government's
counterinsurgency program; special military and police unit is formed to
search for Rowe's assassins, in addition to Federal Bureau of
Investigation; Philippine troops near six United States military
installations in country are put on maximum **alert** after attack, and
United States Navy **orderes** additional **security** for officers and sailors
of Blue Ridge, **flagship** of Seventh Fleet, which arrives in Manila on port
call (M)

COMPANY NAMES: FEDERAL BUREAU OF INVESTIGATION (FBI)
DESCRIPTORS: CIVIL WAR AND GUERRILLA WARFARE; UNITED STATES ARMAMENT AND
   DEFENSE; MILITARY BASES AND INSTALLATIONS; NAVIES; SECURITY AND WARNING
   SYSTEMS; ASSASSINATIONS AND ATTEMPTED ASSASSINATIONS
PERSONAL NAMES: ROWE, JAMES N (COL)
GEOGRAPHIC NAMES: PHILIPPINES, REPUBLIC OF THE

   15/5/7   (Item 5 from file: 474)
DIALOG(R)File 474:New York Times Abs
(c) 2004 The New York Times. All rts. reserv.

00851545   NYT Sequence Number: 037297781201
**Dow Industrial average closes up 8.92 points at 799.03 on trading volume of
   19.90 million shares. Gain was** triggered **by report of decline in Nov
   farm prices and strength in US dollar in foreign exchange dealings.**
   Stock   trading **detailed.Market profile (M).)**
VARTAN, VARTANIG G
New York Times, Col. 3, Pg. 6, Sec. 4
Friday December 1 1978
DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English
RECORD TYPE: Abstract

DESCRIPTORS: AGRICULTURE AND AGRICULTURAL PRODUCTS; CURRENCY; DOW JONES
   STOCK AVERAGE; **INVESTOR** BEHAVIOR; PRICES; STOCK PRICES AND TRADING
   VOLUME; STOCKS (CORPORATE); STOCKS AND BONDS (GENERAL)
PERSONAL NAMES: VARTAN, VARTANIG G
GEOGRAPHIC NAMES: UNITED STATES

   15/5/8   (Item 6 from file: 474)
DIALOG(R)File 474:New York Times Abs

00014389   NYT Sequence Number: 014387691031
Leon Levy (Oppenheimer & Co) says large price readjustments that occur when
  inst sells **block of** stock **are more equitable than were mkt patterns**
  before insts became major factor because all investors **are immediately**
  alerted **by drop; co places ads urging stockholders of $18-million 2d**
  mortgage bonds contact co)
New York Times, Col. 7, Pg. 64
Friday October 31 1969
DOCUMENT TYPE: Newspaper JOURNAL CODE: NYT LANGUAGE: English
RECORD TYPE: Abstract

COMPANY NAMES: BOSTON & MAINE CORP
DESCRIPTORS: INSTITUTIONAL **INVESTORS** ; STOCKS AND BONDS
PERSONAL NAMES: LEVY, LEON

 15/5/9   (Item 1 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs

08061116   NYT Sequence Number: 000000000512
FUND TRACK
LUCCHETTI, AARON
Wall Street Journal, Col. 3, Pg. 1, Sec. C
Friday May 12 2000
DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:
    A price war is erupting in the sedate world of index mutual funds; the
newest salvo is being fired by Barclays Global **Investors** , which is
preparing to unveil 28 new index funds that will **trade** on the American
Stock Exchange; the **flagship** Barclays product, iShares S&P 500 Fund,
reportedly will have an expense ratio of only 0.08% to 0.10% of assets;
chart (M)

SPECIAL FEATURES: Chart
COMPANY NAMES: BARCLAYS GLOBAL **INVESTORS**
DESCRIPTORS: STOCKS AND BONDS; MUTUAL FUNDS
PERSONAL NAMES: LUCCHETTI, AARON

 15/5/10   (Item 2 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs

07944119   NYT Sequence Number: 000000970624
MONDAY'S MARKETS: BLUE-CHIPS PLUNGE ON REMARKS BY HASHIMOTO
MCGEE, SUZANNE
Wall Street Journal, Col. 3, Pg. 1, Sec. C
Tuesday June 24 1997
DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:
    Japan's Prime Minister Ryutaro Hashimoto remarks that Japanese
investors might begin large-scale **selling** of US Treasury **bonds** and
stocks **triggers** the Dow Jones Industrial Average's second largest point

decline, dropping 192.25 to 7604.26; New York Stock Exchange volume is
492.7 million shares with 1,808 declines and 831 advances; chart (M)

SPECIAL FEATURES: Chart
COMPANY NAMES: NEW YORK STOCK EXCHANGE (NYSE)
DESCRIPTORS: STOCKS AND BONDS; DOW JONES STOCK AVERAGE
PERSONAL NAMES: MCGEE, SUZANNE; Hashimoto, Ryutaro (Prime Min)
GEOGRAPHIC NAMES: Japan

15/5/11   (Item 3 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs
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07931187   NYT Sequence Number: 000000970227
GAZPROM EASES RULE ON FOREIGN INVESTORS
LIESMAN, STEVE
Wall Street Journal, Col. 1, Pg. 12, Sec. A
Thursday February 27 1997
DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:
    RAO Gazprom (Russia), in effort to bolster **flagging   stock** price,
will allow foreigners to **buy** coveted shares within Russia, but
restrictions remain on their ability to sell shares outside Russia; graph
(M)

SPECIAL FEATURES: Graph
COMPANY NAMES: Gazprom
PERSONAL NAMES: LIESMAN, STEVE
GEOGRAPHIC NAMES: RUSSIA

15/5/12   (Item 4 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs
(c) 2004 The New York Times. All rts. reserv.

07910872   NYT Sequence Number: 000000960819
ABREAST OF THE MARKET: MIXED SIGNALS ON THE ECONOMY ARE SENDING INVESTORS
  TO SIDELINES
KANSAS, DAVE
Wall Street Journal, Col. 3, Pg. 1, Sec. C
Monday August 19 1996
DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:
    Mixed signals on the US economic outlook may be contributing to the
relatively sluggish pace of **stock   trading** thus far in August; in the
past several weeks, analysts have seen data that **trigger** expectations of
economic strength, only to see offsetting warning signs of economic
weakness; drawing (M)

SPECIAL FEATURES: Drawing
DESCRIPTORS: STOCKS AND BONDS; UNITED STATES ECONOMY
PERSONAL NAMES: KANSAS, DAVE

15/5/13   (Item 5 from file: 475)

07907980   NYT Sequence Number: 000000960723
FUND TRACK: MUNI BROKERS **UNDER WATCH BY THE SEC**
Gasparino, Charles
Wall Street Journal, Col. 6, Pg. 1, Sec. C
Tuesday July 23 1996
DOCUMENT TYPE: Newspaper   JOURNAL CODE: WSJ LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:
    SEC is trying to determine whether small **investors** are being
overcharged by municipal-bond **brokerage** firms, or ' **brokers** ' **brokers** ';
these firms help professional **traders** , including mutual funds, to **buy**
and **sell** **bonds** , in the process charging fees ultimately borne by the
small **investor** ; the probe was **triggered** by Michael Roszak, a
self-styled whistle-blower who once worked as a muni-bond **broker** at J F
Hartfield & Co; drawing; diagram (M)

SPECIAL FEATURES: Drawing; Diagram
COMPANY NAMES: SECURITIES AND EXCHANGE COMMISSION (SEC); Hartfield, J F, &
 Co
DESCRIPTORS: STOCKS AND BONDS; Mutual Funds; Government Bonds
PERSONAL NAMES: Gasparino, Charles; Roszak, Michael

 15/5/14   (Item 6 from file: 475)

07251289   NYT Sequence Number: 000000960109
**SMALL STOCK FOCUS: ISSUES END MIXED IN TRADING SESSION ABBREVIATED BY
  BLIZZARD IN THE EAST**
Wall Street' Journal, Col. 5, Pg. 7, Sec. C
Tuesday January 9 1996
DOCUMENT TYPE: Newspaper   JOURNAL CODE: WSJ LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:
    Small-firm **stocks** finish mixed in **trading** session Jan 8 1996
shortened by fierce East Coast blizzard; **traders** cite lack of volume;
winners include **Flagstar** , Quickturn Design Systems and Borders Group;
losers include Supercuts, Chantal Pharmaceuticals and Geerlings & Wade (M)

COMPANY NAMES: Flagstar Cos; quickturn design systems; Borders Group Inc;
  Supercuts Inc; Chantal Pharmaceutical Corp; geerlings & Wade

 15/5/15   (Item 7 from file: 475)

07031330
TAX REPORT
Wall Street Journal, Col. 5, Pg. 1, Sec. A
Wednesday February 22 1995
DOCUMENT TYPE: Newspaper   JOURNAL CODE: WSJ LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:
New IRS instructions require 'wash sales' to be clearly identified; if
investors sell securities at a loss and within 30 days **buy** the same
securities , the **transaction** is a wash sale; the loss is not deductible,
and taxpayers must **flag** it on Schedule D (S)

DESCRIPTORS: TAXATION; STOCKS AND BONDS; TAX DEDUCTIONS; INCOME TAX

15/5/16   (Item 8 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs

06509055
BROKERS   TRADING **US** SECURITIES   ALERTED   **TO SCAM**
Wall Street Journal, Col. 2, Pg. 9F, Sec. A
Monday March 22 1993
DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:
SEC, in the wake of a suspected $1 billion trading fraud, is warning
brokerage firms to be wary of a man who is using multiple aliases and
questionable corporate documents to place orders for US Treasury bonds and
notes; has obtained a federal court order prohibiting Daniel O Teyibo of
Rockville (Maryland) from selling any securities or making untrue
statements in business transactions (M)

COMPANY NAMES: SECURITIES AND EXCHANGE COMMISSION (SEC)
DESCRIPTORS: VIOLATIONS OF SECURITIES AND COMMODITIES; GOVERNMENT BONDS
PERSONAL NAMES: TEYIBO, DANIEL O

15/5/17   (Item 9 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs

06507516
**BOND PRICES FINISH MIXED IN VOLATILE SESSION; EARLY RALLY, TRIGGERED
  OVERSEAS, LOSES STEAM**
Wall Street Journal, Col. 1, Pg. 19, Sec. C
Tuesday March 9 1993
DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:
Long-term securities ended with modest gains and short-term notes
posted slight losses in volatile trading session; analysts say early buying
frenzy was **triggered** by overseas buying, but by mid-morning **traders**
began to **sell** ; Treasury's benchmark 30-year **bond** gained about 1/4 point
to 105 5/32 as its yield fell to 6.72% from 7.74%; Treasury's two-year
notes fell to 99 27/32 from 99 31/32; long-term investment grade corporate
bonds posted gains up to 1/4 point, while short-term notes lost average of
about 1/8 point; some actively traded corporate bonds noted; municipal
bonds gained 1/8 to 1/2 point; most Europeam bonds gained on prospect of
cut in official German interest rates; graph; tables (M)

SPECIAL FEATURES: Graph; Table
DESCRIPTORS: TREASURY BONDS; CORPORATE BONDS; GOVERNMENT BONDS; BOND
  PRICES AND TRADING VOLUME; INTEREST RATES

PERSONAL NAMES: LAURICELLA, THOMAS D
GEOGRAPHIC NAMES: EUROPE; GERMANY

15/5/18   (Item 10 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs
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05752758
CREDIT MARKETS
Wall Street Journal, Col. 4, Pg. 1, Sec. C
Tuesday January 30 1990
DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:
    Nervous **investors** dumped bonds of RJR Nabisco Inc, sending prices
plunging on January 29 for second day and **triggering** broad **sell** -off in
junk- **bond** market; graph (M)

SPECIAL FEATURES: Graph
COMPANY NAMES: RJR NABISCO INC
DESCRIPTORS: STOCKS (CORPORATE); CORPORATE BONDS
PERSONAL NAMES: MITCHELL, CONSTANCE; HAYDEN, JONES

15/5/19   (Item 11 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs
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05256559
**TASK FORCE'S BRADY SAYS JAPANESE SALES OF U.S. BONDS TOUCHED OFF OCT 19
    CRASH**
RICKS, THOMAS E
Wall Street Journal, Col. 2, Pg. 18, Sec. 1
Friday April 22 1988
DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English
RECORD TYPE: Abstract

ABSTRACT:
    Nicholas Brady, head of Presidential task force that studied Oct
stock-market crash, says record plunge was **triggered** by Japanese
investors heavy **selling** of US Government **bonds** (M)

DESCRIPTORS: GOVERNMENT BONDS; STOCKS AND BONDS; STOCK PRICES AND TRADING
    VOLUME
PERSONAL NAMES: RICKS, THOMAS E; BRADY, NICHOLAS F
GEOGRAPHIC NAMES: JAPAN

15/5/20   (Item 12 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs
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05014907
BLACK MONDAY ENDS BOND FUNDS' BLUES
SICONOLFI, MICHAEL
Wall Street Journal, Col. 4, Pg. 17, Sec. 1
Friday November 13 1987
DOCUMENT TYPE: Newspaper JOURNAL CODE: WSJ LANGUAGE: English

RECORD TYPE: Abstract

ABSTRACT:
     Fixed-income mutual funds, battered for most of year, have bounced back
since stock market crash but many **investors** have yet to **buy** in; market
crash **triggered** vigorous **bond** market rally, especially in government
issues; chart (M)

SPECIAL FEATURES: Chart
DESCRIPTORS: STOCKS AND BONDS; GOVERNMENT BONDS; STOCK PRICES AND TRADING
   VOLUME; INVESTMENT STRATEGIES
PERSONAL NAMES: SICONOLFI, MICHAEL

 15/5/21   (Item 13 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs
(c) 2004 The New York Times. All rts. reserv.

01187643   NYT Sequence Number: 011293830126
 Flagship **Banks Inc sues Federal Reserve Board and Venezuelan** investor
  Juan Vicente Perez Sandoval in effort to keep Perez Sandoval from buying
   more of its stock **(S).)**
Wall Street Journal, Col. 2, Pg. 12
Wednesday January 26 1983
DOCUMENT TYPE: Newspaper   JOURNAL CODE: WSJ   LANGUAGE: English
RECORD TYPE: Abstract

COMPANY NAMES: FLAGSHIP BANKS INC; FEDERAL RESERVE SYSTEM
DESCRIPTORS: SUITS AND LITIGATION; MERGERS, ACQUISITIONS AND DIVESTITURES;
   STOCKS (CORPORATE)
PERSONAL NAMES: PEREZ SANDOVAL, JUAN VINCENTE

 15/5/22   (Item 1 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
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09366862
DBS Securities targeting 20,000 online **clients**
  SINGAPORE: DBS UNVEILS ONLINE TRADING SERVICE
Business Times (XBA)   20 Sep 2000 p.6
Language: ENGLISH

Singapore's DBS Securities has introduced a new online trading service at
www.dbssecurities.com. The service will provide a trading platform as well
as access to market news, research reports, and other investment
information   for   the   firm's   **clients** .   **Clients**   can   **trade**
 Singapore-listed **stocks** online. The site will expand to include new
features like initial public offerings, regional research reports and live
news **alerts** . Multi-market access will also be available sometime in 2001.
Customers can enjoy substantial savings on commission when they trade
online as the channel is built with the capacity to scale for high
transaction volumes. The **brokerage** hopes to have at least 20,000 online
customers by the end of 2001. It will continue to look at new technology
enablers to service its customers' needs, including new distribution
channels and mobile-commerce strategies.

COMPANY: DBS SECURITIES
PRODUCT: Financial Service Information Providers (7375FN);
EVENT: General Management Services (26); Plant/Facilities/Equipment (44

);
COUNTRY: Singapore (9SIN);

15/5/23   (Item 2 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
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09333504
Amazon shares fall as analyst loses confidence
  UK: AMAZON SUFFERS LOSS OF CONFIDENCE
Financial Times (FT)   27 Jul 2000 p.1
Language: ENGLISH

Amazon, the Internet retailer, experienced a fall in **investor** confidence
as second-quarter sales came in at the lower end of expectations. Sales
from established activities fell 4% between the first and second quarters
although its books, video and audio activities had an operating profit of
US$ 10mn. Amazon has now lost the confidence of Lehman's e-commerce analyst
Holly Becker, and Banc of America analyst Tom Courtney lowered his rating
 triggering   investors to **sell** their **stock** . Forecasts for Amazon's
full-year losses have risen from US$ 1.15 to US$ 1.27 per share. Confidence
was also affected by news that Joe Galli, the most senior executive, was
leaving to join VerticalNet. To compound matters the company's website also
suffered a shutdown after a system failure.
(c) Financial Times 2000

COMPANY: AMAZON
EVENT: Company Reports & Accounts (83);
COUNTRY: United States (1USA);

15/5/24   (Item 3 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
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09306686
Stockk.com in partnership with local portal
  MALAYSIA: NEWMALAYSIA.COM OFFERS STOCK QUOTES
The Star (XAT)   13 Jun 2000 In-tech p.51
Language: ENGLISH

Following the inking of accord between Stock Venture (M) Sdn Bhd and
Microasia Technology Sdn Bhd, web surfers browsing at the search engine
Newmalaysia.com will be able to manage their stock portfolio as well as
access real-time stock quotes on the Kuala Lumpur Stock Exchange (KLSE) in
Malaysia. As stipulated under the agreement, Internet **users** will be able
to click on the Stockk.com icon on the Newmalaysia.com search directory to
become a member of the financial portal. Other services of Stockk.com such
as online investment games, instant investment and financial news updates
and stock **alert** systems will also be made available. By September 2000,
subscribers of **Stockk** .com will be able to **trade** over the Internet on
the KLSE. Microasia Technology manages Newmalaysia.com while Stock Venture,
a Malaysian unit of Asiadragons.com Pte Ltd (Singapore), manages
Stockk.com.

COMPANY: INTERNET; ASIADRAGONSCOM; KLSE; KUALA LUMPUR STOCK EXCHANGE;
MICROASIA TECHNOLOGY; STOCK VENTURE

PRODUCT: Securities & Commodities Exchanges (6230); Securities **Dealers** (
6211); Debt & Equity Securities (E5640); Financial Service Information

Providers (7375FN);
EVENT: Company Formation (14);
COUNTRY: Malaysia (9MAO);

15/5/25   (Item 4 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
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09122883
Automated share trading is one handphone call away
  SINGAPORE: FRASER DEBUTS MOBILE E-TRADING
Business Times (XBA)   21 Jun 1999 p.1
Language: ENGLISH

Singapore's Fraser Securities will introduce its mobile e-trading service
on 29 June 1999, which is probably the first service around the globe that
allows **investors** to trade shares online via mobile phones. **Investors**
can trade from any country covered by Singapore Telecom's GSM roaming
service as the new service will be offered via SingTel Mobile on GSM
handphones. The service uses Short Message Service, which costs S$ 0.05 per
message whether it is sent within Singapore or abroad. The service will
initially be available only on Motorola's V3688 handphone. It can
automatically alert **investors** , through their handphones, on up to 10
stocks for which they have set price **triggers** . The service is implemented
by IBM and MacroVision Systems. Fraser **Securities** aimed to have online
 stock   trading accounting for 10% of its revenues in three years' time.
This is up from the current under 1%.

COMPANY: MACROVISION SYSTEMS; IBM; MOTOROLA; SINGTEL MOBILE; SINGAPORE
TELECOM; FRASER SECURITIES

PRODUCT: Securities & Commodities Exchanges (6230); Securities **Dealers** (
6211); Debt & Equity Securities (E5640);
EVENT: General Management Services (26); Plant/Facilities/Equipment (44
);
COUNTRY: Singapore (9SIN);

15/5/26   (Item 5 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
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09110314
Stock trading going mobile
  HONG KONG: NEW WORLD LAUNCHES PHONEINVEST
South China Morning Post (XKT)   27 May 1999 p.3
Language: ENGLISH

New World Mobility has teamed up with Tai Fook Securities to launch an
electronic stock trading through mobile phones. The Phoneinvest only offers
to Tai Fook's account holders and NW subscribers. They can **trade   stocks**
, check real time price quotation and set price **alert** . It will also
launch an interactive voice system for the Phoneinvest in a few months and
also link it with the Internet. It expects at least 10% of its 330,000
mobile phone **users** will use the new service. *

COMPANY: NEW WORLD MOBILITY

PRODUCT: Cellular Radio Services (4811CR); Telecommunications (4810);

Bode Akintola24-Feb-04

Computers & Auxiliary Equip (3573); Communications Eqp ex Tel (3662);
EVENT: Company Formation (14);
COUNTRY: Hong Kong (9HON);

15/5/27   (Item 6 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
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09001753
Turmoil forces hedge fund to liquidate $1.5bn bonds
  US: ELLINGTON CAPITAL MANAGEMENT IN TROUBLE
The Times (TS)   14 Oct 1998 p. 24
Language: ENGLISH

Ellington Capital Management aims to revive **flagging** margins by **selling**
 mortgage-backed **bonds** worth US$ 1.5bn, with the situation regarding this
US-based hedge fund said to bear similiarities with Long Term Capital
Management's (LTCM) plight. Michael Vranos' Ellington Capital Management
fund owes US$ 20bn or thereabouts in bonds and has **investor** cash of US$
1bn. However, financial market turmoil has forced Mr Vranos to write to a
number of fund managers and banks seeking bids for the various bonds.

COMPANY: LONG TERM CAPITAL MANAGEMENT; ELLINGTON CAPITAL MANAGEMENT

PRODUCT: Securities & Commodities Exchanges (6230); Securities **Dealers** (
6211); Debt & Equity Securities (E5640);
EVENT: Company Financial Data (80);
COUNTRY: United States (1USA);

15/5/28   (Item 7 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
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05812517
Thomson automates end-to-end settlement instructions
  UK - THOMSON ADDS NEW FEATURES TO ALERT NETWORK
Financial Technology Bulletin (FTB)   1 March 1993 p1,2

Thomson Financial Services is adding to its **Alert** network new features
enabling its database of standing settlement instructions to cover all
parties to a **securities transaction** . The new software will permit the
inputting of settlement instructions by **brokers** , with custodian banks
able to access these electronically, The latter will also be able to input
data so that delivery instructions can be picked up by **brokers** from
custodian banks.

COMPANY: THOMSON FINANCIAL SERVICES

PRODUCT: Financial Services Software (7372FI); Computer Software (COSW);
    Data Processing in Finance Sector (7374FI); Computer Services (COSV);
EVENT: NEW PRODUCT EXTENSION (33);
COUNTRY: United Kingdom (4UK); OECD Europe (415); European Economic
    Community Countries (419); NATO Countries (420); South East Asia Treaty
    Organisation (913);

15/5/29   (Item 8 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)

03794066
ARIX AND PHITECH UNVEIL SPEECH SYSTEM
  US - ARIX AND PHITECH UNVEIL SPEECH SYSTEM
Computergram International (CGI)   24 October 1990   p1
ISSN: 0268-716X

Arix (San Jose, CA), and Phitech (San Francisco, CA), one of its systems
integrators, have demonstrated a real-time speech processing system built
on an Arix machine which will be used by Unibridge (Indianapolis, IN), an
investment information clearing house, to launch a new audiotext 900-number
service supplying callers with **stock** quotes, **stock** ratings, **trading**
 alerts and analysts' opinions. The speech-processing technology provides
customers with access to the database of financial information via
digitised speech prompts and menus. Unibridge hopes to win a share of the
10m calls a day that US **investors** make to their **brokers** .*

PRODUCT: Electronic Financial Services Sys (3573EF);
EVENT: PRODUCTS, PROCESSES & SERVICES (30);
COUNTRY: United States (1USA); NATO Countries (420); South East Asia
     Treaty Organisation (913);

  15/5/30   (Item 1 from file: 256)
DIALOG(R)File 256:SoftBase:Reviews,Companies&Prods.
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00115566   DOCUMENT TYPE: Review

PRODUCT NAMES: VRML   (835315); Wavefront 3D   (460311); UNIX   (847151);
Iris Performer UNIX   (742716)

TITLE: Virtual Reality Trading Floor Adds Dimension
AUTHOR: Vijayan, Jaikumar
SOURCE: Computerworld,   v33 n13 p67(1) Mar 29, 1999
ISSN: 0010-4841
HOMEPAGE: http://www.computerworld.com

RECORD TYPE: Review
REVIEW TYPE: Product Analysis
GRADE: Product Analysis, No Rating

VRML (Virtual Reality Modeling Language), Alias|Wavefront's Wavefront 3-D
CAD software, and Silicon Graphics' Iris Performer visualization software
running on SGI's UNIX boxes are the basis for a virtual 3D trading floor
(3DTF) that mirrors the physical New York Stock Exchange (NYSE) trading
floor. The virtual space was designed by Asymptote, an architectural firm,
and is a realistic environment that allows NYSE to quickly identify,
scrutinize, and account for particular business or system events. Anne
Allen, senior VP of NYSE floor operations, says the virtual mock-up
provides NYSE with tools for synthesizing large quantities of data and
showing it in a way that allows faster more effective decision-making. The
virtual floor is a 'hub monitoring the myriad operations at one of the
world's busiest exchanges,' and is a valuable decision-support core for the
NYSE's business and technical staff. For example, over 50 activities and
events relevant to particular stocks are monitored on the 3DTF. If any
event passes a preset threshold, automated alarms **alert** trading floor
managers, who can quickly drill down to the **trading** area or particular
stock to assess the changes. 3D images and correlation software also allow

users to expeditiously compare events and actions on almost 4,000 stocks traded daily on the NYSE.

COMPANY NAME: Vendor Independent   (999999); Alias Systems   (483559);
    Silicon Graphics Inc   (435201)
SPECIAL FEATURE: Output Samples
DESCRIPTORS: Models; Silicon Graphics; Stock Market; UNIX; VRML
REVISION DATE: 20031125

15/5/31   (Item 2 from file: 256)
DIALOG(R)File 256:SoftBase:Reviews,Companies&Prods.
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00109259   DOCUMENT TYPE: Review

PRODUCT NAMES: Web Agent   (702684)

TITLE: Tech Support Centers to Merge Web With Voice
AUTHOR: Workman, Will
SOURCE: Computer Shopper,   v18 n5 p89(2) May 1998
ISSN: 0886-0556
HOMEPAGE: http://www.computershopper.com

RECORD TYPE: Review
REVIEW TYPE: Product Analysis
GRADE: Product Analysis, No Rating

Teleweb interaction, such as that provided by Aspect's Web Agent, is designed to keep customers from vanishing when they hit a problem when interacting with an e-commerce Web site. Internet storefronts have the advantage of reducing calls to a company's telephone order department by making purchases possible online. However, sometimes the **customer** has a problem in filling out a form, making a **stock   trade** , choosing between models, or some other decision-making interaction. Then, they can click on a teleweb icon. This **alerts** the company's call center and within moments, a **customer** service representative can phone to offer the **customer** assistance. A Java applet like Web Agent lets the representative's PC interact with the customers to do things like swap HTML pages or Help files. This does require two phone lines, but vendors are working on single-line voice over data implementations. Trust is another thing that teleweb can help establish with a **client** . Industries that are most ready to use this technology include financial services, computer sales, travel, and health-care firms. The term teleweb was coined by Forrester Research in early 1997. The technology is intended to personalize the Web. Early efforts by AT&T and MCI have been very primitive, and teleweb will only be effective if companies can offer adequate telephone support to back it up. It also poses the problem of privacy that companies will need to address to keep customers.

COMPANY NAME: Aspect Communications   (531201)
DESCRIPTORS: Internet Marketing; Internet Utilities; Network
    Administration; Network Software
REVISION DATE: 20020630

15/5/32   (Item 3 from file: 256)
DIALOG(R)File 256:SoftBase:Reviews,Companies&Prods.
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00107877   DOCUMENT TYPE: Review

PRODUCT NAMES: **SchwabLinkWeb   (705047)**

TITLE: **Trading Push: Schwab's latest Web application pushes real-time...**
AUTHOR: Fryer, Bronwyn
SOURCE: Information Week,   v677   p97(3) Apr 13, 1998
ISSN: 8750-6874
HOMEPAGE: http://www.informationweek.com

RECORD TYPE: Review
REVIEW TYPE: Product Analysis
GRADE: Product Analysis, No Rating

Charles Schwab now pushes real-time trading information to **users** at
institutional investment firms, instead of requiring them to pull the
information from scattered servers. The approach saves the **investors** a
great deal of time and makes it easier for them to do business. This is
especially important in the stock market, where a stock quote can change
within seconds. The new SchwabLinkWeb service, now in its first phase of
rollout to institutional **investors** , goes beyond merely putting a GUI on a
database. It brings time-sensitive data to the institutional **investors**
who need it most. The application simultaneously integrates investment data
from multiple hosts into a single presentation. The goal of SchwabLinkWeb
is to connect these institutional **investors** seamlessly to Schwab's
back-end systems. SchwabLinkWeb is being rolled out to 5,000 institutional
investment firms which manage a total of $100 billion in assets. The
application will eventually allow the managers to view the same real-time
transactional data as Schwab's own institutional **traders** . Schwab is
currently testing a feature that will let managers download daily account
information files, and managers will also be able to access a fee tracking
feature to see what fees they are earning. Ultimately, SchwabLinkWeb will
replace the Windows-based SchwabLink system that runs over a costly private
line.

COMPANY NAME: Charles Schwab & Co Inc   (394955)
SPECIAL FEATURE: Charts
DESCRIPTORS: **Alerts** ; Information Retrieval; Internet Utilities;
    Investment Analysis; News Services; OLTP; **Order** Fulfillment;   **Stock**
    Market
REVISION DATE: 20020730